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# Least Developed Countries Fund: 2020 Program Evaluation

June 2022



# Least Developed Countries Fund: 2020 Program Evaluation

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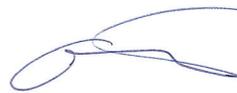
# Foreword

**T**he Least Developed Countries Fund (LDCF) was established in 2001 under the United Nations Framework Convention on Climate Change to support the climate adaptation efforts of least developed countries (LDCs). The fund is mandated to finance the preparation of national adaptation programs of action and the implementation of priority projects under these national programs in LDCs. The LDCF is a unique adaptation fund as it is dedicated to LDCs—low-income countries facing significant structural challenges to sustainable development, which are especially vulnerable to the impacts of climate change.

This is the second program evaluation of the LDCF and comes at a time when the availability of resources for programming is rebounding. The evaluation's main objective and purpose is to assess the progress the LDCF has made since the 2016 program evaluation and to provide the LDCF/Special Climate Change Fund (SCCF) Council with evaluative evidence of the relevance, effectiveness, efficiency, sustainability, and additionality of LDCF support. Portfolio review of project-level milestones reached in the preceding four years,

combined with postcompletion assessment of completed projects in Rwanda and Samoa, allows for evaluation of progress toward achieving the objectives of the Global Environment Facility's (GEF's) adaptation strategy.

The evaluation was presented to the LDCF/SCCF Council in December 2020. The Council took note of its conclusions and endorsed the recommendations, taking into account the GEF management response. A summary of the findings and conclusions of the LDCF program evaluation was submitted as part of the GEF report to the United Nations Framework Convention on Climate Change 26th Conference of the Parties.



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**A**nna Vighh, Senior Evaluation Officer in the Global Environment Facility Independent Evaluation Office (GEF IEO), led this evaluation. Core evaluation team members were Molly Watts Sohn, IEO Evaluation Analyst; Ronald MacPherson, Consultant; and Fanny Teppe, Junior Consultant. Anupam Anand and Gabriel Sidman, IEO Evaluation Officers, provided geospatial analysis for postcompletion country visits.

The evaluation benefited from oversight provided by Juha Uitto, Director of the IEO; quality control was provided by Geeta Batra, IEO Chief Evaluation Officer. Carlo Carugi, IEO Senior Evaluation Officer, served as a peer reviewer.

The evaluation team would like to thank the GEF Secretariat and the GEF Agencies for their cooperation and assistance in collecting relevant information. We are also grateful to those who participated and assisted in arranging country field

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The GEF IEO is deeply grateful to all these individuals and institutions for their contributions, which were critical to the success of the evaluation. Final responsibility for this report remains firmly with the Office.

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# Abbreviations

AfDB	African Development Bank	LDCF	Least Developed Countries Fund
APR	annual performance report	MTF	multitrust fund
CEO	Chief Executive Officer	NAP	national adaptation plan
COP	conference of the parties	NAPA	national adaptation program of action
FAO	Food and Agriculture Organization of the United Nations	NDC	nationally determined contribution
GEF	Global Environment Facility	PIF	project identification form
ICCRIFS	Integration of Climate Change Risks and Resilience into Forestry Management in Samoa	PMIS	Project Management Information System
IEO	Independent Evaluation Office	SCCF	Special Climate Change Fund
IFAD	International Fund for Agricultural Development	STAP	Scientific and Technical Advisory Panel
INDC	intended nationally determined contribution	UNDP	United Nations Development Programme
IUCN	International Union for Conservation of Nature	UNFCCC	United Nations Framework Convention on Climate Change
LDC	least developed country	WWF-US	World Wildlife Fund

The GEF replenishment periods are as follows:

Pilot phase: 1991–94	GEF-1: 1995–98	GEF-2: 1999–2002	GEF-3: 2003–06
GEF-4: 2006–10	GEF-5: 2010–14	GEF-6: 2014–18	GEF-7: 2018–22

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# Executive summary

**A**t its 26th meeting in June 2019, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the Independent Evaluation Office (IEO) of the Global Environment Facility (GEF). It includes an update to the 2016 program evaluation of the LDCF during fiscal year 2020. This program evaluation focuses on performance and progress toward LDCF objectives and results in the four years since the 2016 evaluation.

The LDCF was established as one of the climate change adaptation financing mechanisms of the United Nations Framework Convention on Climate Change (UNFCCC), in response to guidance from the Seventh Conference of the Parties (COP) in Marrakech in 2001 (UNFCCC 2001). The LDCF is mandated by the UNFCCC to, among other responsibilities, support the climate adaptation efforts of least developed countries (LDCs)—including preparing national adaptation programs of action (NAPAs), implementing NAPA priority projects in LDCs, preparing the national adaptation plan process in eligible developing countries, and supporting other elements of the LDC work program.

The GEF is an operating entity of the financial mechanism of the UNFCCC and is entrusted with the administration and financial operation of the

LDCF. The LDCF is separate from the GEF Trust Fund, and—together with the SCCF—has its own council. The governance structure and operational procedures and policies that apply to the GEF Trust Fund also apply to the LDCF and SCCF. However, the LDCF/SCCF Council can modify these procedures in response to COP guidance or to help LDCF/SCCF operations achieve their objectives.

The LDCF works with the same agencies as the GEF. These GEF Agencies have direct access to LDCF and work closely with project proponents such as government agencies, civil society organizations, and other stakeholders to design, develop, and implement activities the fund. As of this writing, 11 GEF Agencies—the Asian Development Bank, the African Development Bank, Conservation International, the Food and Agriculture Organization of the United Nations, the International Fund for Agricultural Development, the International Union for Conservation of Nature, the United Nations Development Programme, the United Nations Environment Programme, the United Nations Industrial Development Organization, World Bank, and the World Wildlife Fund (WWF-US)—were involved in LDCF operations.

The main objective of this evaluation is to assess the progress the LDCF has made since the 2016

LDCF program evaluation and the extent to which the LDCF is in the process of achieving the objectives set out in the GEF Programming Strategy on Adaptation to Climate Change for LDCF/SCCF (2018–2022).

The evaluation developed a portfolio analysis protocol, including a quality-at-entry review, to assess the projects systematically to ensure that key project-level questions were addressed coherently. The team applied the portfolio analysis protocol to 25 projects that had been approved, 34 projects for which terminal evaluations had become available, and 1 enabling activity that had reached completion since the 2016 LDCF program evaluation. Where appropriate, the team merged results from the 2020 portfolio review with data from the 2016 program evaluation for information on the LDCF portfolio as a whole.

In addition to the portfolio review, the team conducted two country field visits—to Rwanda and Samoa. The team selected field visit countries that had projects closed for three to five years, suitable for postcompletion evaluation, aiming to cover LDC regions. The evaluation team also conducted interviews with staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, the LDC Expert Group, civil society organizations and government officials, project implementers, beneficiaries, and other country-level stakeholders.

## CONCLUSIONS

**LDCF support continues to be highly relevant to COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs.** The 2016 LDCF program evaluation reported strong alignment between LDCF-financed activities and COP guidance and decisions, the GEF adaptation strategic objectives, and countries' environmental and sustainable development agendas. This evaluation has found continued strong alignment since

2016. Additionally, a large portion of the LDCF's work is inherently aligned with the Paris Agreement through its support of adaptation related NDCs/INDs. Notably, in response to recent COP guidance based on findings of the 2016 LDCF program evaluation, the LDCF has enhanced domestic institutional capacities in LDCs by supporting institutional capacity development through the involvement of national institutions in LDCF project development, approval and delivery.

**LDCF project design clearly contributes to the three recently revised GEF adaptation strategic objectives; contributions to the two new strategic pillars were not as strong.** The nature and extent of contributions varied from project to project, but the overall LDCF portfolio clearly contributed to reducing vulnerability and increasing resilience, mainstreaming climate change adaptation, and strengthening the enabling conditions for effective and integrated adaptation. LDCF projects invariably also helped raise general awareness of adaptation across all stakeholder groups. They commonly supported strengthening institutional capacities for adaptation-focused work. Contributions to the new GEF adaptation strategic pillars in project design were less pronounced. This is partly because the pillar revisions were only adopted in 2018, so they have yet to have a marked influence on LDCF project design.

**The overall gender performance of the LDCF portfolio has improved.** The use of gender analysis during project design is widespread. Revisions to the GEF's Gender Equality Policy have contributed to improved gender mainstreaming performance across the LDCF. Particularly influential has been a new requirement for all GEF-supported projects to undertake a gender analysis prior to GEF Chief Executive Officer endorsement or approval. The *Guidance to Advance Gender Equality in GEF Projects and Programs* (GEF 2018d) has also helped clarify how gender analyses can be operationalized through gender action plans or mainstreaming

strategies. However, there is a knowledge gap in the gender-related results of LDCF projects: it is particularly concerning that most LDCF terminal evaluations fail to undertake any form of gender-focused assessment, even among those published after the GEF IEO guidelines made it a requirement.

**Substantive engagement with the private sector is limited, and LDCF projects face common challenges.** Most LDCF projects deliver activities that aim to increase private sector involvement or deliver activities with some private sector participation. However, beyond such activity-level engagement, the private sector has very limited substantive involvement in implementing LDCF projects, for example as delivery partners or investors. Interviews with GEF Agencies identified two common challenges LDCF projects face: banking and private sectors are comparatively less developed in LDCs, and it is difficult to attract private sector interest and investment in adaptation-focused work. These two factors arguably make private sector engagement even more challenging for LDCF projects compared to other GEF funding mechanisms.

**The lack of resources available for new projects during GEF-6 clearly reduced the efficiency of the LDCF project approval process.** Project cycle analysis shows that during the GEF-5 period, the LDCF efficiency approval process matched other GEF-administered funds. In GEF-6, however, the LDCF approval process slowed considerably, because of a lack of resources available for new projects. Several interviewees noted improvements in efficiency during the GEF-7 period, stemming from eliminating the pipeline and operational improvements the GEF Programming Strategy for the LDCF and SCCF and Operational Improvements introduced. Despite welcome operational improvements, uncertainty over resource availability remains a concern among stakeholders.

**Once implementation has begun, efficiency of LDCF projects is comparable to other GEF-administered funds.** Comparisons with other GEF funds show similar project lengths, numbers of projects with extensions, and projects with extensions of longer than two years for full-size projects between funds. The most often reported causes of delays in project implementation arise from difficulties coordinating between executing partners and recruiting project personnel, changes in project executing arrangements, and staff turnover.

**LDCF support has resulted in catalytic efforts through production of public goods and their demonstration.** Most completed LDCF projects have produced public goods in the form of new technologies or approaches and demonstrated new technologies and approaches by disseminating information through training or at demonstration sites from a large to a very large extent. Replication and scale-up are more difficult to attain, especially by project closure.

**LDCF support has built foundations for larger scale projects.** In the areas where stakeholders have identified catalytic effects, the strongest performance for the portfolio of completed projects was building foundations for larger scale projects—60 percent have done so from a large to a very large extent—and improving management effectiveness of adaptation-relevant national and subnational systems, which 55 percent of projects have achieved to a large or very large extent. Projects were less successful being instrumental in developing longer-term partnerships—32 percent of projects achieved this to a large or very large extent; 28 percent developed new cost-sharing approaches or leveraged new resources to a large or very large extent and built on the traditional knowledge and practices of local communities.

**Many factors, both in and outside a project's control, affect outcome sustainability.** Postcompletion

visits to LDCF projects revealed project-supported benefits continued to varying degrees. Continued financing is an important factor in sustainability. LDCF terminal evaluations identified common project-related factors that hindered outcome sustainability, including insufficient capacity of the project team, staff turnover and delays in recruitment, weak project design, and weak project management. The reports most frequently noted effective stakeholder engagement and effective coordination between executing partners as factors contributing to sustainability.

## RECOMMENDATIONS

**Build on progress made on mainstreaming gender in the LDCF portfolio and aim to decrease the knowledge gap about gender-related results.** The GEF Secretariat and GEF Agencies should continue to build on progress made since the 2016 LDCF program evaluation toward inclusion of gender considerations by ensuring that the 2017 Gender Equality Policy (GEF 2017a) and related guidance is fully operationalized, including the development

and implementation of robust gender action plans. To narrow the knowledge gap, GEF Agencies should fulfill evaluation requirements on gender in terminal evaluations and report on the conduct of gender analysis and monitoring and evaluation of gender equitable participation and benefits in implementation.

**Continue to enhance the likelihood of the sustainability of outcomes.** The GEF Secretariat and GEF Agencies should continue to carry out relevant actions in project design and implementation as highlighted in the Council document “Towards Greater Durability of GEF Investments” (GEF 2019c). This should entail giving more emphasis to the project and context factors identified by this evaluation as affecting the sustainability of outcomes during project design and implementation.



# Introduction

**A**t its 26th meeting in June 2019, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the Independent Evaluation Office (IEO) of the Global Environment Facility (GEF) (GEF IEO 2019c). It includes an update to the 2016 program evaluation of the LDCF during fiscal year 2020. This program evaluation focuses on performance and progress toward LDCF objectives and results in the four years since the 2016 evaluation. The overall purpose is to provide the LDCF/SCCF Council with evaluative evidence of the fund’s relevance, effectiveness, efficiency, sustainability, and additionality of LDCF support.

The LDCF was established as one of the climate change adaptation financing mechanisms of the United Nations Framework Convention on Climate Change (UNFCCC), in response to guidance from the Seventh Conference of the Parties (COP) in Marrakech in 2001 (UNFCCC 2001). The LDCF is mandated by the UNFCCC to, among other responsibilities, support the climate adaptation efforts of least developed countries (LDCs)—including preparing national adaptation programs of action (NAPAs), implementing NAPA priority projects in LDCs, preparing the national adaptation plan (NAP) process in eligible developing countries, and supporting other

elements of the LDC work program. [Box 1.1](#) defines key terms used. [Annex F](#) is a summary of UNFCCC COP guidance and decisions for the LDCF. Recent UNFCCC COP guidance includes a request based on findings of the 2016 LDCF program evaluation “to continue to enhance capacity development in the least developed countries for the development of project proposals, with a focus on identifying potential funding sources, both national and international, and enhancing long-term domestic institutional capacities” (UNFCCC 2016).

The GEF is an operating entity of the financial mechanism of the UNFCCC and is entrusted with the administration and financial operation of the LDCF. The LDCF is separate from the GEF Trust Fund, and—together with the SCCF—has its own council. The governance structure and operational procedures and policies that apply to the GEF Trust Fund also apply to the LDCF and SCCF. However, the LDCF/SCCF Council can modify these procedures in response to COP guidance or to help LDCF/SCCF operations achieve their objectives.

Since the Paris Agreement entered into force in November 2016, the LDCF is one of the operating entities of the financial mechanism for the agreement and the UNFCCC. The LDCF is entrusted

### Box 1.1 Intergovernmental Panel on Climate Change definitions of key terms

The UNFCCC COP guidance and decisions on the LDCF ([annex F](#)) and GEF strategic objectives and pillars ([box 2.1](#)) use several key terms defined by the Intergovernmental Panel on Climate Change:

**Adaptation.** The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects.

**Capacity building.** The practice of enhancing the strengths and attributes of, and resources available to an individual, community, society, or organization to respond to change.

**Resilience.** The capacity of social, economic, and environmental systems to cope with a hazardous event, trend, or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation.

**Vulnerability.** The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.

Source: IPCC 2018.

to continue to play a key role in areas such as strengthening least developed countries' adaptive capacity and resilience to climate change, with a focus on implementation. At the heart of the Paris Agreement and the achievement of long-term goals are the nationally determined contributions (NDCs) and intended NDCs (INDCs).<sup>1</sup> Each coun-

<sup>1</sup> More information is available on the UNFCCC [Nationally Determined Contributions \(NDCs\)](#) webpage.

try outlines its efforts to reduce national emissions and, in some cases, to adapt to impacts of climate change. LDCF supports adaptation related NDCs/INDCs and seeks to align its programming with priorities identified in NDCs/INDCs.

NAPAs provide a process for LDCs to identify priority activities that respond to their urgent and immediate needs to adapt to climate change—those for which further delay would increase vulnerability or costs at a later stage. The main content of NAPAs is a country-driven list of ranked priority adaptation activities and projects designed to facilitate development of proposals for NAPA implementation. The focus is on short-term outputs and potential long-term outcomes. As of the most recent LDCF/SCCF progress report to the Council, December 10, 2019, 51 LDCs had accessed \$12.20 million to support preparation of their NAPA (GEF 2019a). [Annex G](#) is an overview of completed NAPA country reports. Additionally, the GEF Chief Executive Officer (CEO) has endorsed or approved 228 projects to implement priorities identified in NAPAs, the NAP process, and elements of the LDC work program totaling \$1,401.13 million in LDCF funding (GEF 2019a).

NAPs provide a process for LDCs to formulate and implement activities that focus on medium- and long-term adaptation needs, building on the experience of the LDCs in addressing urgent and immediate adaptation needs through the NAPAs. As of the September 30, 2020 GEF report to the 26th session of the UNFCCC COP, LDCF support for the NAP processes totaled \$75.2 million (GEF 2020). This support has come both in the form of projects focused solely on advancing NAP processes and projects that combine support to the NAP process with adaptation investments for NAPA implementation. As of September 30, 2019, the cutoff for this evaluation, the GEF Secretariat identified 11 projects that support the NAP process.

Unlike the GEF Trust Fund, which is replenished every four years, the LDCF receives voluntary

contributions with no regular replenishment schedule. This has created a high level of financing uncertainty. At the 24th LDCF/SCCF Council meeting in June 2018, the GEF Secretariat modified the LDCF project selection and approval process to improve pipeline management from a “first-come, first-served” basis to LDCF/SCCF Council batch approvals of projects through work programs (GEF 2018b). Projects constituting the work program are selected based on agreed on factors for prioritization, similar to the GEF Trust Fund process. The first LDCF work program was submitted to the LDCF/SCCF Council for approval at its 25th meeting in December 2018 (GEF 2018i).

The LDCF works with the same agencies as the GEF, listed in [table 1.1](#). These GEF Agencies have

direct access to LDCF and work closely with project proponents such as government agencies, civil society organizations, and other stakeholders to design, develop, and implement activities the fund. As of September 2019, the cutoff date for this evaluation, nine GEF Agencies were involved in LDCF operations. Since the cutoff date, two additional agencies, Conservation International and the World Wildlife Fund (WWF-US,) had project concepts approved, bringing the total at this writing to 11 GEF Agencies involved in LDCF operations. Five of the seven remaining Agencies either do not cover LDCs in their areas of operations or are not accredited by GEF to work in LDCs, thus the majority of Agencies which are eligible to implement LDCF projects are involved in operations.

**Table 1.1** GEF Agencies involved in LDCF operations

GEF Agency	Involved in LDCF operations	Not positioned to implement LDCF projects
<b>Original GEF Agencies</b>		
United Nations Development Programme (UNDP)		
United Nations Environment Programme (UNEP)		
World Bank Group		
<b>Agencies added in two rounds of expansion</b>		
African Development Bank (AfDB)		
Asian Development Bank (ADB)		
Brazilian Biodiversity Fund (FUNBIO)		
Conservation International (CI)		
Development Bank of Latin America (CAF)		
Development Bank of Southern Africa (DBSA)		
European Bank for Reconstruction and Development (EBRD)		
Food and Agriculture Organization of the United Nations (FAO)		
Foreign Economic Cooperation Office, Ministry of Environmental Protection of China (FECO)		
Inter-American Development Bank (IDB)		
International Fund for Agricultural Development (IFAD)		
International Union for Conservation of Nature (IUCN)		
United Nations Industrial Development Organization (UNIDO)		
West African Development Bank (BOAD)		
World Wildlife Fund (WWF-US)		

**Sources:** GEF [website](#), accessed October 2020; GEF PMIS and GEF Portal through September 2019.

# Approach and methodology

The main objective of this evaluation is to assess the progress the LDCF has made since the 2016 LDCF program evaluation and the extent to which the LDCF is in the process of achieving the objectives set out in the GEF Programming Strategy on Adaptation to Climate Change for LDCF/SCCF (2018–2022) ([box 2.1](#)). The overarching goal and strategic objectives, an integral part of the GEF programming strategy on adaptation, translate into evaluation questions grouped in five core evaluation criteria. A detailed description of the evaluation design is provided in the 2020 LDCF program evaluation approach paper ([annex A](#); [annex B](#) presents the evaluation matrix). The evaluation assessed the performance and progress of the LDCF using aggregated data to answer the following questions:

- **Relevance.** Does LDCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans, and programs?
- **Effectiveness.** How effective has the LDCF been at delivering on expected climate adaptation and resilience outcomes? What are the gender equality objectives achieved and gender mainstreaming principles the LDCF adheres to? To what extent has the LDCF engaged the private

## Box 2.1 GEF Adaptation Program strategic objectives and pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF (July 2018 to June 2022) has three strategic objectives:

- Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
- Mainstream climate change adaptation and resilience for systemic impact
- Foster enabling conditions for effective and integrated climate change adaptation

Private sector engagement will be fostered for the LDCF and SCCF through the three objectives of this strategy and implemented through the following two pillars:

- Expanding catalytic grant and nongrant investments
- Support enabling environments for the private sector to act as an agent for market transformation

The results framework of the GEF Adaptation Program is provided in [annex H](#).

Source: GEF 2018c.

sector? What are lessons learned from the implementation experience?

- **Efficiency.** How have resource flows and resource predictability, or lack thereof, affected the fund's programming? How efficient is the fund's project cycle as a delivery mechanism?
- **Sustainability.** To what extent have LDCF project outcomes been sustainable postcompletion?
- **Additionality.** What has been the additionality, both environmental and otherwise, of the LDCF?

## 2.1 Evaluation design

The evaluation used a mixed-methods approach encompassing both quantitative and qualitative sources of data, information, and analytical tools. At the evaluation's onset, the team undertook a literature review of evaluations the IEO, the evaluation offices of GEF Agencies, and others conducted that reviewed the LDCF, the NAPA, and NAP process since the 2016 LDCF program evaluation. The evaluation team also reviewed GEF-specific documents on the LDCF and related interventions. It reviewed additional literature beyond GEF and LDCF/SCCF Council and project documents, GEF Secretariat policies, processes, and related documents. The document review includes non-IEO evaluation materials and academic and other literature on the fund.

The team developed a portfolio analysis protocol, including a quality-at-entry review, to assess the projects systematically to ensure that key project-level questions were addressed coherently ([annex E](#)). The team applied the portfolio analysis protocol to full-size projects, medium-size projects, and an enabling activity at various stages of implementation ([annex C](#)). The following categories determined how the team analyzed projects during the evaluation:

- The assessment reviewed the 34 completed projects for which terminal evaluations had

become available since the 2016 LDCF program evaluation.<sup>1</sup> These 34 projects were all approved during the GEF-4 and GEF-5 periods. All these projects were reviewed in 2016 for quality at entry. The 2020 review for this cohort of projects therefore focused on performance during implementation and results.

- The team reviewed all 25 Council-approved projects with project identification forms (PIFs) submitted in or after October 2015—the cutoff date for review as part of the 2016 program evaluation at entry; these comprise the “recently approved” cohort referenced throughout this report.<sup>2</sup> The portfolio analysis protocol applied to these projects references the 2018 GEF adaptation strategy and its strategic objectives and pillars. While this strategy was put in place half-way through the period covered, it still serves as an important reference for reviewing all projects submitted and approved in the last four years, as elements of the current strategy were also present in prior strategies.
- The team included the NAPA country report for South Sudan, submitted to the UNFCCC Secretariat in February 2017.<sup>3</sup>

Where appropriate, the team merged results from the 2020 portfolio review with data from the 2016 program evaluation for information on the LDCF portfolio as a whole.<sup>4</sup> For example, information for

<sup>1</sup> Of these projects, 33 are NAPA implementation projects; the remaining project supported a NAP process.

<sup>2</sup> In contrast to the 2016 program evaluation, this evaluation did not review projects pending Council approval.

<sup>3</sup> Source: UNFCCC [Submitted NAPAs](#) webpage, accessed October 2020.

<sup>4</sup> This evaluation also lightly reviewed projects in 2016 with Council approval but before CEO endorsement for any changes in design or additional information added at the CEO endorsement stage that might affect review responses. In some instances, the team made corrections to the 2016 database (for example, a project reported as a medium-size project that was

all completed NAPA implementation and NAP projects with terminal evaluations available ( $n = 45$ ) is presented together where possible. Information for all NAPA implementation and NAP projects ( $n = 229$ ) is also presented where possible. For the first time, the team included some elements of the portfolio review, such as questions on private sector involvement, contributions to NDCs and INDCs, and gender inclusion informed by the newly introduced GEF gender policy. Results for these questions can therefore only be presented for the 59 projects (25 recently approved projects plus 34 recently completed projects) reviewed in 2020.

The team extracted information on the portfolio of LDCF projects, including project status, financing and cofinancing, GEF Agency, executing agency or institution, country, main objectives, and key partners both from the archived GEF Project Management Information System (PMIS) and the new GEF Portal, as the data were migrated from the former to the latter concurrently with the evaluation. The GEF Agencies then verified the information.

The evaluation team reviewed all available project documentation—including requests, PIFs, project preparation grant requests for CEO endorsement or approval, project documents, project implementation reports, midterm reviews, terminal evaluations, and terminal evaluation reviews.

In addition to the portfolio review, the team conducted two country field visits—to Rwanda and Samoa—and interviewed key stakeholders to cross-check and validate the data collected. These included piloting a methodological approach for postcompletion verification the GEF IEO developed (GEF IEO 2019d). The team selected field visit countries that had projects closed for three to

five years, suitable for postcompletion evaluation, aiming to cover LDC regions. The field visits are a critical component of the evaluation as they provide in-depth, field-verified inputs to the findings and recommendations.

The evaluation team conducted interviews with staff of the GEF Secretariat, the GEF Agencies, the UNFCCC Secretariat, the LDC Expert Group, civil society organizations and government officials, project implementers, beneficiaries, and other country-level stakeholders. A full list of the people consulted is in [annex D](#).

The team conducted analyses and triangulation of qualitative as well as quantitative data and information collected to determine trends and formulate main findings, lessons, and conclusions. The team used the evaluation matrix ([annex B](#)), summarizing the key questions, indicators or basic data, sources of information, and methodology to guide the analysis and triangulation between sources.

Finally, in line with IEO practices, the team established stakeholder engagement and quality assurance measures for this evaluation. The draft approach paper and evaluation report were circulated and validated before finalization through a comprehensive stakeholder feedback process with key stakeholders. These include the GEF Secretariat, relevant GEF Agencies, the GEF Scientific and Technical Advisory Panel (STAP) and select GEF focal points. The Coordinator of the Adaptation Fund Technical Evaluation Reference Group Secretariat was an external peer reviewer, providing advice on the approach paper and evaluation report, while a Senior Evaluation Officer within the GEF IEO was an internal peer reviewer. Audit trails of comments and responses are available on the IEO website.

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implemented as a full-size project—3319 replaced by 3916). The team removed projects canceled or dropped since the 2016 program evaluation from the data set.

## 2.2 Limitations

This evaluation was originally scheduled for presentation at the 28th LDCF/SCCF Council meeting held in June 2020. Its completion and presentation were delayed because of the COVID-19 pandemic. One of the evaluation's two field visits for post-completion project assessment was cut short when World Bank staff on mission were called back to their home offices in March 2020. The team had already completed the review of recently completed and approved LDCF projects with a cutoff date of September 2019 when the date to present the evaluation to council was postponed. Therefore, projects approved by the Council after September 2019 are not included in the portfolio review conducted for this evaluation. The team did, however, cover developments in the LDCF portfolio after September 2019 through stakeholder interviews. The team contacted all Agencies active in the LDCF portfolio for interview, regardless of whether they were implementing projects approved by the September 2019 cutoff date. Examples of other developments covered in this evaluation that are not part of the portfolio review include the Challenge Program on Adaptation Innovation, which was raised in stakeholder interviews and covered in discussion of private sector engagement.

The transition from the GEF Secretariat PMIS to a new data portal caused data gaps while the new system is being developed. This has been a limitation in presenting accurate information on project status. For project cycle analysis, gaps in data on project implementation dates were also a limitation. The evaluation has addressed this by contacting GEF Agencies for verification of project status and incorporating this information.

## 2.3 Literature review

The following summarizes the key findings and recommendations from LDCF-relevant evaluations,

journal articles and think-pieces published since 2016.

The most substantive recent study of the LDCF, undertaken by Sovacool, Linnér, and Klein (2017) was published in a journal article. It used case studies of five LDCF-financed projects to analyze strengths and weaknesses of the fund. Through a literature review and an extensive set of interviews undertaken both before and after project implementation, the evaluation concluded that LDCF projects tended to deliver three benefits: (1) strengthened, nationally significant infrastructure, (2) enhanced institutional capacity for, and awareness of adaptation, and (3) improved community assets. However, it also identified common challenges. The most consequential challenges identified within the article were the LDCF's "insufficient and uncertain" funding envelope, and the fund's "convoluted...inefficient" management structures and processes. LDCF projects were also found to face broader contextual challenges. LDCs' limited capacities tended to limit projects' ability to deal with the complexity of adaptation and to fully manage climate-related risks.

The 2017–18 Multilateral Organization Performance Assessment Network (MOPAN) assessment of the GEF focused on the entire GEF institution but included some LDCF-specific findings. While most of the assessment was positive, the efficiency of GEF's results delivery was rated highly unsatisfactory. A key part of the supporting evidence for this conclusion was that LDCF's efficiency had been undermined "due to unstable governments, unpredictability of resources, climate extremes and natural disasters, cofunding requirements, and lengthy project approval processes" (MOPAN 2019). The assessment also raised concerns about a lack of consistent gender monitoring across the GEF, as the GEF-6 core gender indicators were different from those in other active results frameworks, including LDCF's. More positively, the assessment found that LDCF's support for NAPAs had helped

strengthen an enabling environment for development in recipient countries.

A think piece policy review published by the United Nations Committee for Development Policy (Cortez 2019) identified some LDCF-specific concerns and observations for countries approaching graduation from the LDC category. The review provided some evidence of the value placed on the LDCF by recipient countries, noting that “losing access to the LDCF is a main concern for many graduating countries, particularly the small island developing states, because of their considerable vulnerability to the impacts of climate change.” While other adaptation funding is available to those countries, the review cautioned that graduating LDCs would be competing for these funds “from a disadvantaged position due to their relatively weaker administrative and technical capacity.” The review went on to recommend that, as part of the graduation process, countries be provided with policy guidance and capacity development that would explicitly support the necessary phasing out of LDCF as a source of adaptation funding.

The LDC-focused niche of the fund was explored further in a think-piece produced by the International Institute for Environment and Development (Tenzing et al. 2016). The briefing indicated that recipient countries particularly valued both the restriction of the LDCF’s eligibility to LDCs and its grant-based nature. The piece viewed these two characteristics as an implicit acknowledgment that “LDCs are not in a position to ‘compete’ with other, more capable developing countries for climate change finance.” However, the paper also suggested that more could be done to close this gap, and that LDCF could focus more on strengthening country capacities to access, absorb, and manage climate finance. In line with a core finding and recommendation of the 2016 GEF IEO evaluation of the LDCF, the paper reiterated that a prominent

concern for LDCs was the inadequacy of resources available through the LDCF and the lack of funding predictability.

The GEF IEO’s most recent evaluation of the LDCF was presented to the 20th LDCF/SCCF Council meeting in June 2016. That evaluation found LDCF-supported activities to be highly relevant to COP guidance and countries’ development priorities, and to show clear potential in reaching the GEF’s three adaptation strategic objectives. It also found benefits beyond the climate change focal area. Furthermore, it found improvement in gender performance of the LDCF portfolio following GEF’s introduction of enhanced requirements, though the share of gender-mainstreamed projects was still low, at 14 percent. Finally, it found that the unpredictability of resources, based on the lack of a formal resource mobilization process, hampered efficiency. The evaluation reached three recommendations: the GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the fund; the GEF Secretariat should make efforts to improve consistency in its understanding and application of the GEF gender-mainstreaming policy and the Gender Equality Action Plan to the LDCF; and the GEF Secretariat should ensure that PMIS data are up to date and accurate.

Finally, the GEF IEO’s 2018 Sixth Comprehensive Evaluation of the GEF (OPS6) included several LDCF-specific findings, although these were mostly derived directly from the 2016 GEF IEO evaluation of the LDCF. However, the OPS6 issued one new relevant recommendation for strategic positioning—the GEF should “continue to emphasize innovative projects in its climate change mitigation, LDCF, and SCCF portfolios” (GEF IEO 2018b).

# Analysis of the LDCF portfolio

This chapter presents an overview of the LDCF portfolio. The portfolio has evolved since it was first introduced during the GEF-3 period, shifting from enabling activities to prepare NAPA reports to full- and medium-size projects implementing priority activities from NAPAs or supporting the NAP process.

GEF-5 was the most active period for the LDCF in approving new projects, with 60 percent of all approved funding and 49 percent of all approved projects introduced. The GEF-6 period saw a slow-down caused by a lack of funding compared to demand. As of the cutoff date of September 2019 for this evaluation, 15 projects focused on implementation of NAPA priorities had been approved in the GEF-7 period.

## 3.1 Portfolio composition

An overview of LDCF support to NAPAs, NAPA implementation projects, and projects supporting the NAP process by project type is presented in [table 3.1](#).<sup>1</sup> As of September 2019, 280 LDCF projects

had either received Council approval or advanced beyond that stage in the project cycle. Of these projects, all 51 enabling activities had reached completion, and 45 of the full and medium-size projects had reached completion with terminal evaluations received by the GEF.

### **Following a dip during GEF-6, multitrust fund proposal submissions are rising in the GEF-7 period.**

This trend follows the roll-out of the GEF Programming Strategy on Adaptation to Climate Change and GEF programming directions in July 2018, in line with the GEF-7 ambition to better mainstream adaptation and climate resilience in GEF Trust Fund programming (GEF 2018c). The LDCF portfolio includes 15 multitrust fund (MTF) projects, which combine LDCF resources with resources from SCCF or the GEF Trust Fund. MTF projects were introduced during the GEF-5 replenishment period (GEF 2018c). [Table 3.2](#) includes information on MTF projects in the portfolio by GEF period.

**The LDCF portfolio has evolved toward implementation since the GEF-3 period.** In that period, the focus was on formulating NAPA country reports through enabling activities. This shift is shown in [figure 3.1](#), which presents the distribution of LDCF project types by GEF replenishment period. Aside

<sup>1</sup> The GEF Secretariat provided the categorization of projects supporting the NAP process.

**Table 3.1** Number of projects and budgetary allocation for LDCF projects by modality

Modality	No. of projects	Budgetary allocation (million \$)		
		LDCF financing	Cofinancing	Total
Enabling activity	51	11.3	1.3	12.5
Total medium- and full-size projects	229	1,422.3	6,275.9	7,699.2
Medium-size project	11	17.3	53.4	70.7
Full-size project	218	1,405.0	6,223.5	7,628.5
Total	280	1,433.6	6,277.2	7,711.7

Source: GEF PMIS and GEF Portal through September 2019.

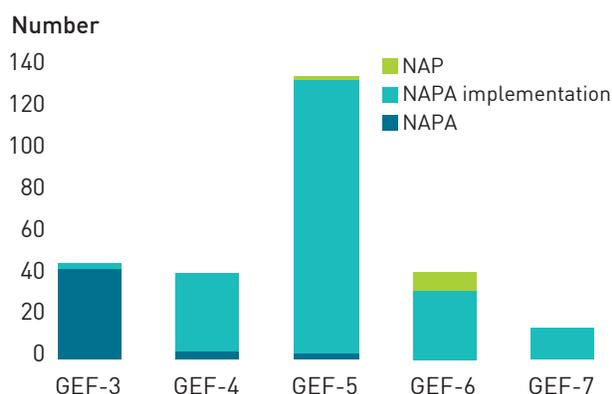
Note: Financial implication of dropped projects is not considered. LDCF financing numbers include project preparation grants as well as Agency fees.

**Table 3.2** Number of projects and budgetary allocation for MTF projects by GEF period

GEF period	No. of projects	Budgetary allocation (million \$)		
		LDCF/GEF/SCCF financing <sup>a</sup>	Cofinancing	Total
GEF-5	12	102.6	626.5	729.1
GEF-6	1	15.7	42.6	58.3
GEF-7	2	11.5	29.7	41.2
Total	15	129.8	698.8	828.6

Source: GEF PMIS and GEF Portal through September 2019.

Note: Financial implication of dropped projects has not been considered. LDCF financing numbers include project preparation grants as well as Agency fees. GEF-7 programming is still underway. Two GEF-7 programs with no child projects approved are not included.

**Figure 3.1** Distribution of LDCF project types by GEF replenishment period

Source: GEF PMIS and GEF Portal through September 2019.

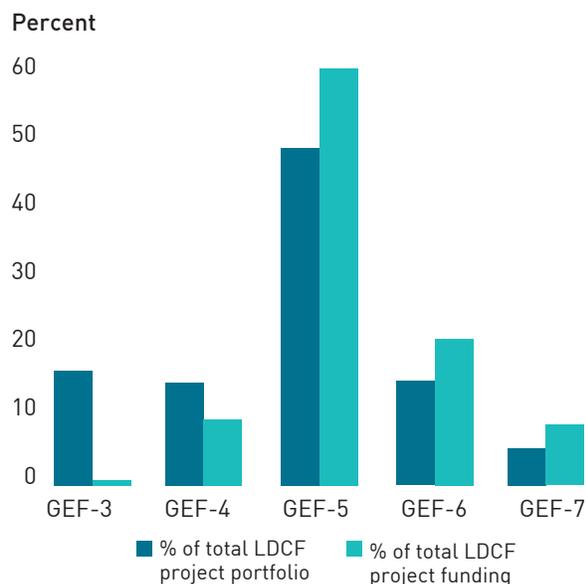
Note: Classification of NAPA implementation and NAP projects provided by GEF Secretariat. Two GEF-7 programs with no child projects approved are not included.

from three enabling activities focused on preparing NAPAs approved in GEF-5, all LDCF projects and funding from GEF-5 onward have focused

on implementing activities listed as priorities in countries' NAPA and NAPs. Two projects focused on supporting the NAP process were approved in GEF-5, while nine such projects were approved in GEF-6. All 15 LDCF projects approved in the GEF-7 period are NAPA implementation projects.

**The largest share of LDCF projects and funding were approved in the GEF-5 period.** The 135 projects used \$860.3 million in LDCF funding. [Figure 3.2](#) displays the distribution of LDCF project funding by GEF replenishment period. The relatively lower shares of LDCF funding in the GEF-3 and GEF-4 period compared to the share of projects approved is the result of the share of enabling activities supporting preparation of NAPAs during this period, which require less funding per project. A funding shortage in the GEF-6 period slowed approvals compared with GEF-5, with 42 projects approved, representing

**Figure 3.2** Distribution of LDCF projects and funding by GEF replenishment period



**Source:** GEF PMIS and GEF Portal through September 2019.

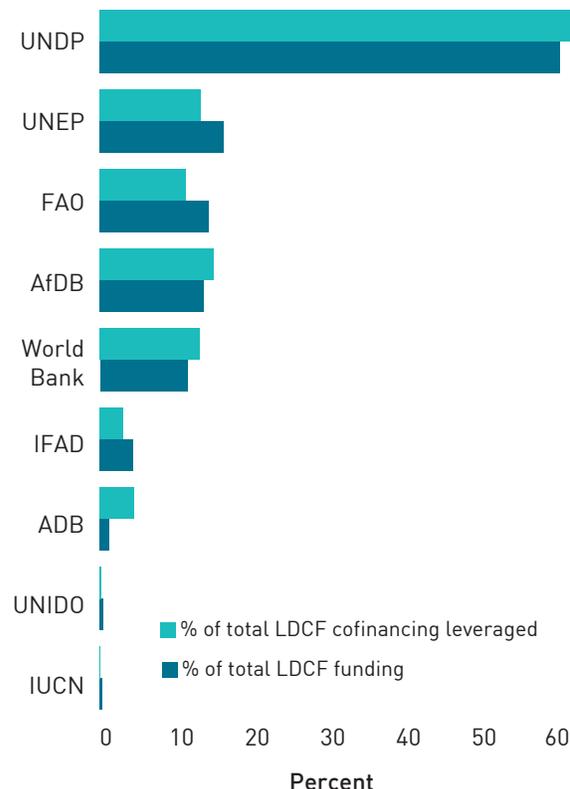
**Note:** GEF-7 programming is still under way. Two GEF-7 programs with no child projects approved are not included.

\$302 million in LDCF funding. As GEF-7 programming is still under way, the share of funding for this period can be expected to rise.

**Historically, the United Nations Development Programme (UNDP) has been the GEF Agency with the largest share of LDCF-funded projects and funding.** However, the pool of involved agencies is diversifying. [Figure 3.3](#) presents the distribution of LDCF financing and cofinancing by agency. In the GEF-6 period, The International Union for Conservation of Nature (IUCN) became the first of the GEF Agencies accredited in the most recent partnership expansion to have a project approved. Following the cutoff date for this evaluation, Conservation International and WWF-US also joined the list of Agencies with Council-approved LDCF projects, expanding the group of GEF Agencies involved in LDCF operations.

**National and regional LDCF projects are implemented primarily in Africa and Asia, consistent**

**Figure 3.3** Distribution of LDCF financing and cofinancing leveraged by agency



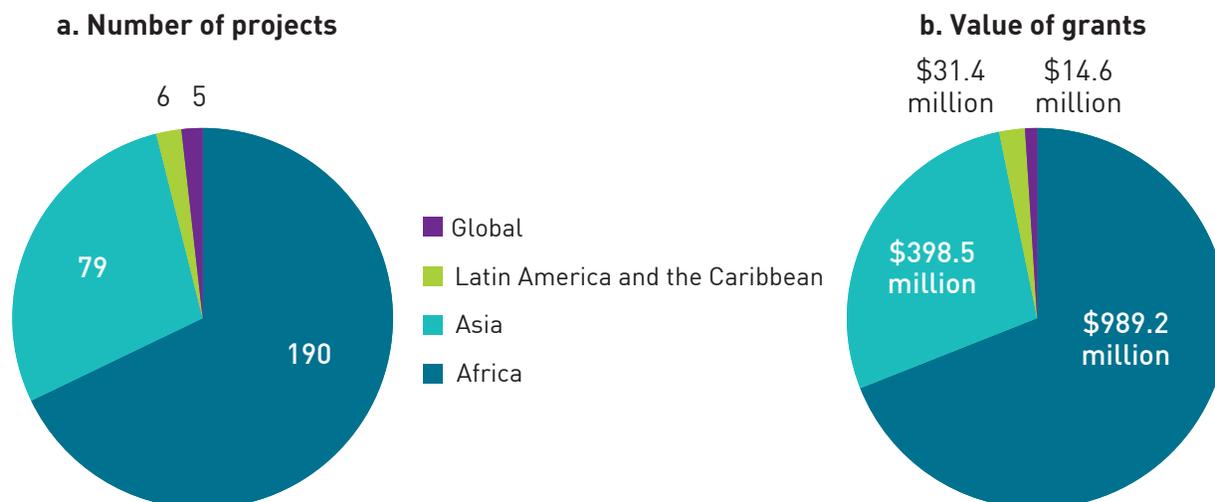
**Source:** GEF PMIS and GEF Portal through September 2019.

**with the regional distribution of LDCs.** [Figure 3.4](#) presents a breakdown of LDCF projects and funding by region. The Latin American and Caribbean region has six projects, all implemented in Haiti, amounting to \$31.4 million in LDCF funding. Five global projects have been approved, with \$14.6 million in LDCF funding.

## 3.2 LDCF projects and portfolio status

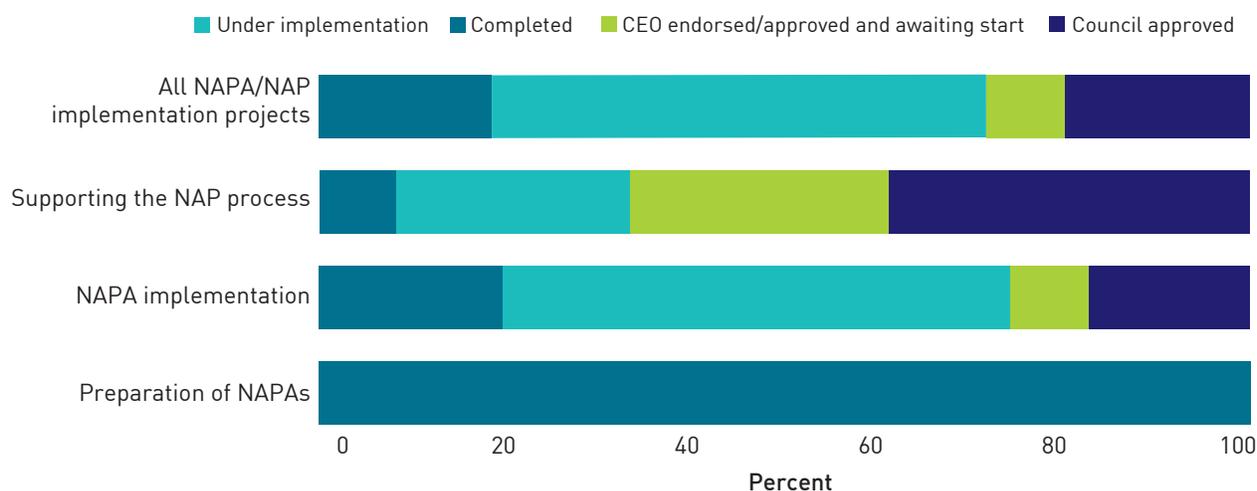
**The LDCF portfolio has matured since the previous evaluation.** Now 45 NAPA implementation and NAP projects are completed—20 percent of the portfolio of approved projects. An overview of the LDCF portfolio by project status is presented in [figure 3.5](#). Fifty-four percent of all approved NAPA implementation and NAP projects are being

**Figure 3.4** Number and grant value of LDCF project by region



Source: GEF PMIS and GEF Portal through September 2019.

**Figure 3.5** Distribution of LDCF projects by status



Source: GEF PMIS and GEF Portal through September 2019, verified by GEF Agencies.

Note: Completed NAPA Implementation and NAP projects include only those with technical evaluations available for review as of September 2019.

implemented (124 projects). Twenty-three projects, 10 percent of the portfolio, have gained CEO endorsement or approval but have not yet begun, and 37 projects (16 percent) are Council approved.<sup>2</sup> All projects focused on preparing NAPA reports

have been completed, with the most recent NAPA submitted to UNFCCC in February 2017 for South Sudan.<sup>3</sup>

<sup>2</sup> Project status is as of September 2019. Actual status may have changed. Only projects approved by the Council or advanced beyond this stage in the project cycle are

considered part of the LDCF portfolio. Canceled projects have been excluded.

<sup>3</sup>Source: UNFCCC [Submitted NAPAs](#) webpage, accessed October 2020.

# Relevance of LDCF support

This chapter focuses on the key question: Does LDCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans, and programs?

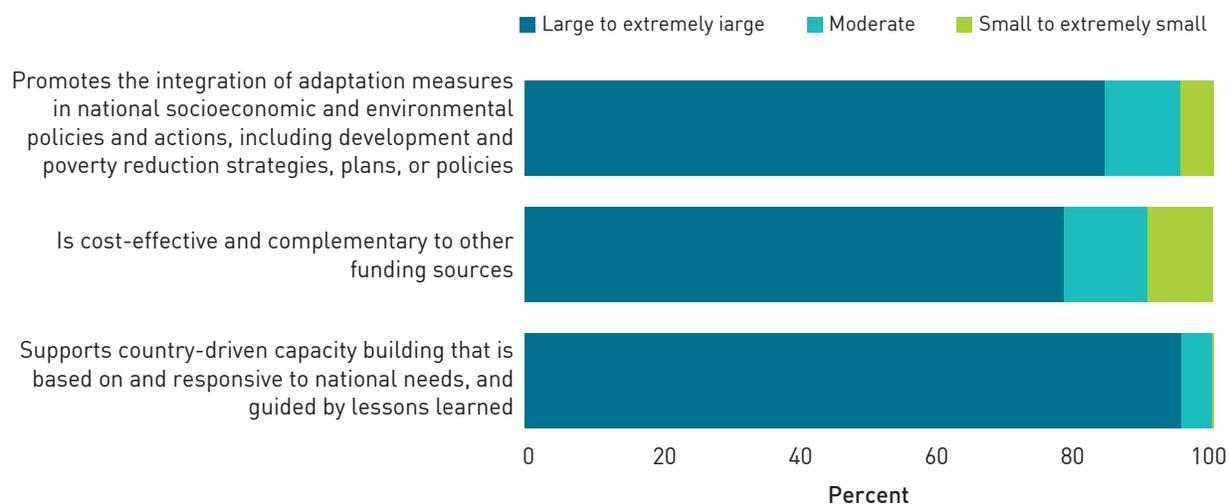
## 4.1 LDCF relevance to UNFCCC COP guidance

**LDCF support is well aligned with and highly relevant to UNFCCC COP guidance and decisions.** The 2016 evaluation reported strong alignment in project design of LDCF-financed activities with COP guidance and decisions. For this evaluation, the team reviewed the 25 projects submitted that council approved since the 2016 evaluation at entry for this alignment. Assessment of LDCF activities since 2016 found continued strong alignment with most COP decisions, particularly in capacity development, NAPA implementation, and NAP projects. Of the 25 projects, the evaluation team found project design for 92 percent support country-driven capacity building based on and responsive to national needs. The team found 80 percent are cost-effective and complement other funding sources at entry, and 52 percent have objectives

that promote integration of adaptation measures in national socioeconomic and environmental policies and actions, including development and poverty reduction from a large to a very large extent.

[Figure 4.1](#) combines these results with results from the 2016 evaluation to provide information on the project design at entry of all NAPA implementation and NAP projects. Ninety-five percent of all NAPA implementation and NAP projects ( $n = 229$ ) have objectives to support country-driven capacity building based on and responsive to national needs and guided by lessons learned to a large or extremely large extent. Eighty-four percent of the portfolio of approved and ongoing LDCF projects have objectives to promote the integration of adaptation measures in national socioeconomic and environmental policies and actions, including development and poverty reduction strategies, plans, or policies to a large or very large extent. The lowest degree of alignment, 78 percent of the projects reviewed across both evaluations, related to UNFCCC guidance calling for projects to be cost-effective and complementary to other funding sources. The team found one NAPA country report completed since the 2016 evaluation to be strongly aligned with support to country-driven capacity building and integration of adaptation measures

**Figure 4.1 Design alignment with UNFCCC guidance for NAPA implementation and NAP projects**



**Source:** LDCF project design and performance documents.

**Note:** n = 229. Two projects were scored unable to assess for the first listed priority, while one project each was scored unable to assess for the second two.

in national socioeconomic and environmental policies, but weakly aligned with the guidance on cost-effectiveness and complementarity to other funding sources.

**The LDCF has responded effectively to recent COP guidance on building domestic institutional capacities in LDCs.**

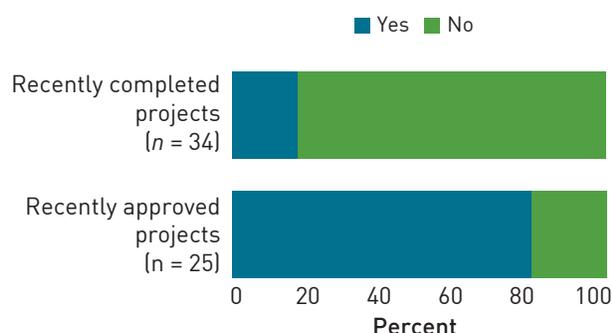
As noted above, recent UNFCCC COP guidance includes a request based on findings of the 2016 LDCF program evaluation to enhance capacity development in the least developed countries for the development of project proposals (UNFCCC 2016). The LDCF has supported institutional capacity development, with potentially the most important contribution arising from the involvement of national institutions in LDCF project development, approval, and delivery. While there are examples of discrete activities targeted at developing capacity for proposal development, it is the ongoing involvement of national institutions in LDCF development and delivery that is most important for building and sustaining capacities. Some stakeholders interviewed noted that LDCF NAPA and NAP activities have helped some

countries improve interministerial coordination. In Rwanda, the LDCF helped improve interministerial coordination and interest in climate change: the funding available from LDCF projects gives project coordinators and management units some “clout” when it comes to bringing ministries to the table. In Samoa, LDCF activities engage public service commissions to ensure that the process is broader than just one ministry, which maximizes benefits for capacity of project development.

**A large portion of the LDCF’s work is also inherently aligned with the Paris Agreement.**

LDCF supports the adaptation-related NDCs/INDCs and seeks to align its programming with NDC/INDC-identified priorities, increasingly noted in project documents. [Figure 4.2](#) shows that 80 percent of recently submitted and approved projects included reference to the country’s respective NDCs/INDCs in project documents. Recently submitted and approved projects also included explicit references and an explanation of how the project is aligned with the country’s NDCs/INDCs. Recently completed projects were all approved during the

**Figure 4.2** Linkages to intended NDCs/INDCs in projects reviewed



Source: LDCF project design and performance documents.

GEF-4 and GEF-5 periods, prior to adoption of the Paris Agreement, thus their design would not be expected to align with country NDCs/INDCs. However, even among these, six recently completed projects referenced NDCs/INDCs in their performance documents, of which three reported that the project had been key to further elaborate and prepare the country's NDCs/INDCs.

Among recently submitted and approved projects reviewed that link to NDCs/INDCs, a World Bank project in Sudan, Sustainable Natural Resources Management Project (GEF ID 10083), fast-tracked implementation of its first NDC by pursuing Land Degradation Neutrality. A project implemented by the Food and Agriculture Organization of the United Nations (FAO), Strengthening Resilience to Climate Change of Coastal Communities in Togo (GEF ID 10165) directly targeted three of the six priority sectors identified in its NDC: agricultural production, coastal erosion, and forestry, and supported implementation of proposed adaptation measures.

Among completed projects where documents confirmed a linkage with or contribution to the country's NDC/INDC, an FAO project in Mali, Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas (GEF ID 3979), influenced the development of countries' NDCs directly by supporting their formulation

ahead of COP21. A UNDP project, Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea's Vulnerable Coastal Zones (GEF ID 3703), influenced NDC development indirectly by working with ministries in charge of developing NDCs. Stakeholders interviewed also agree that LDCF is well aligned with the Paris Agreement, although it mainly increased the emphasis and focus on issues and approaches that the LDCF was already delivering.

**LDCF-funded activities support GEF focal areas outside climate change.**

Most projects contribute to at least one other focal area (table 4.1). For recently approved projects reviewed (n = 25), 15 (60 percent) include activities in their project design which would contribute to the biodiversity focal area, and 16 (64 percent) to land degradation focal areas. For the entire portfolio of NAPA implementation and NAP projects (n = 229), 111 (48 percent) projects contribute to the biodiversity focal area, and 132 (58 percent) to land degradation. The contributions in other focal areas are much more modest. These contributions are in line with the primary priority areas for LDCF support—agriculture, climate information systems, water resource management, disaster risk management, and natural resource management. The portfolio review of recently approved projects also found the

**Table 4.1** Other focal areas to which LDCF projects potentially contribute

Focal area	Recent projects		All projects	
	No.	%	No.	%
Biodiversity	15	60	111	48
Climate change	5	20	68	30
International waters	0	0	12	5
Land degradation	16	64	132	58
Chemicals and waste	0	0	1	0

Source: LDCF project design and performance documents.

Note: Projects can contribute to more than one focal area. Percentages for recent projects are based on n = 25; for all projects, n = 229. The portfolio of all projects does not include enabling activities.

potential of LDCF support contributing to global environmental benefits based on the inclusion of numerical targets toward global environmental benefits. The team noted particularly “sustainable land management in production systems, such as agriculture, rangelands, and forest landscapes”; and “promotion of collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services” (34 percent of projects for both).

## 4.2 LDCF relevance to the GEF adaptation strategy

**LDCF support is most relevant to the first two strategic objectives.** This evaluation uses the adaptation strategy currently in place to review projects submitted and approved since the 2016 evaluation ( $n = 25$ ). The evaluation found the project design for 88 percent of these projects to be aligned from a large to a very large extent with the objective to reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation, and 80 percent with the objective to mainstream climate change adaptation and resilience for systemic impact. LDCF-financed support has been, to a lesser extent, generally relevant to the third objective—66 percent of projects were in alignment with the objective to foster enabling conditions for effective and integrated climate change adaptation.

Relevance to the two strategic pillars has been less clear, particularly when it comes to the second pillar—enabling environments for the private sector. Sixty-two percent of projects aligned to a large or very large extent with the first pillar, expanding catalytic grant and nongrant investments, but only 44 percent of projects with the second pillar, enabling environments for the private sector to act as an agent for market

transformation. Among the projects reviewed found to support the strategic pillars is a UNDP project in Ethiopia, Enhancing Adaptive Capacity of Communities by Adopting an Integrated Approach for Scaling Up (GEF ID 10174). It plans to engage the private sector in delivery of climate information technologies and in insurance schemes. An FAO project, Building Climate-Resilient Livelihoods in Vulnerable Landscapes in Bangladesh (GEF ID 10207), aims to involve a range of private sector entities, from small and medium enterprises to agroindustry noncommercial banks, by piloting financial instruments and investment models and adaptation services, including early warning systems and resilient livelihood technologies. The team found the South Sudan NAPA country report was moderately aligned with the first pillar but found no evidence it supported the second strategic pillar.

Stakeholders interviewed, including stakeholders at the country level, confirmed the continued relevance of LDCF support to the GEF adaptation strategy. While the most significant portfolio and project-level results interviewees cited suggest strong alignment with the spirit and specifics of the strategy, they also noted challenges in engaging the private sector in adaptation work. The report addresses these in depth in the effectiveness section.

## 4.3 Relevance to countries’ broader development policies, plans, and programs

The relevance of LDCF projects to national priorities is strong, as demonstration of relevance is a central precondition for LDCF funding. The portfolio review found the project design of nearly all LDCF-financed activities highly aligned with country NAPA priorities. Most projects (81 percent of 227) address primary priority areas listed or outlined in that country’s NAPA report. An additional

17 percent do not address primary priority areas as listed but do address other priorities in the country NAPA report. Only three projects touched on some priority areas but did not structurally address specific priorities outlined in the country NAPA report. Reviewers were unable to assess an additional two projects. Interviewees stressed that alignment is a precondition for funding: projects simply would not be approved—either by governments or by the LDCF—if they were not clearly aligned to national plans and priorities. For example, in Rwanda, full alignment with national priorities and plans was nonnegotiable: a “red-line” condition for any national approval of LDCF projects.

The evaluation also assessed the alignment of the South Sudan’s NAPA country report with the country’s national policies. The evaluation determined that mainstreaming NAPA priorities into the country’s environmental and sustainable development agendas is clearly explained and includes a description of linkages with existing and developing policies, plans, and strategies.

Taking a closer look at projects approved since the 2016 evaluation ( $n = 25$ ), the evaluation detected a trend toward alignment with other priorities outlined in the NAPA country report. While the 2016

evaluation found 90 percent of projects addressed a primary priority area as listed in the report, this evaluation found only 42 percent of projects reviewed at entry did so, while the rest (58 percent) addressed priorities identified and discussed in NAPA reports, but not the primary priority areas. While NAPAs have provided a solid foundation for adaptation work in LDCs, adaptation work and research has advanced since their formation, and countries may be responding to more recent priorities. For example, two of the 25 projects reviewed at entry in 2020 were focused at least in part on the NAP process, the UNDP project Climate-Resilient Growth and Adaptation in Democratic Republic of Congo (GEF ID 9392) and the United Nations Environment Programme (UNEP) project Strengthening the Capacity of Government and Communities in South Sudan to Adapt to Climate Change (GEF ID 9723). As noted above, projects are also increasingly focused on alignment with priority areas identified in INDCs and NDCs. Thus, an evolution over time in the focus of LDCF projects is appropriate.

# Effectiveness of the LDCF

This chapter focuses on the following key questions about LDCF effectiveness:

- How effective has the LDCF been at delivering on expected outcomes?
- What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the LDCF?
- To what extent has the LDCF engaged the private sector?

## 5.1 LDCF support to GEF's strategic adaptation objectives

The evaluation's assessment of effectiveness focused on identifying the extent to which LDCF projects supported delivery of the GEF's three adaptation strategic objectives and two strategic pillars, and on the general performance of LDCF-supported projects. A combination of portfolio analysis, interviews, and aggregation of the GEF's annual performance report (APR) ratings supported the assessment.

## 5.2 Alignment with GEF adaptation strategic objectives and pillars

The GEF's adaptation strategic objectives and pillars were revised in 2018, midway through the period this evaluation covers (2016–2020). While the current strategic pillars are quite different from the previous pillars, the previous and current strategic objectives are similar ([table 5.1](#)).

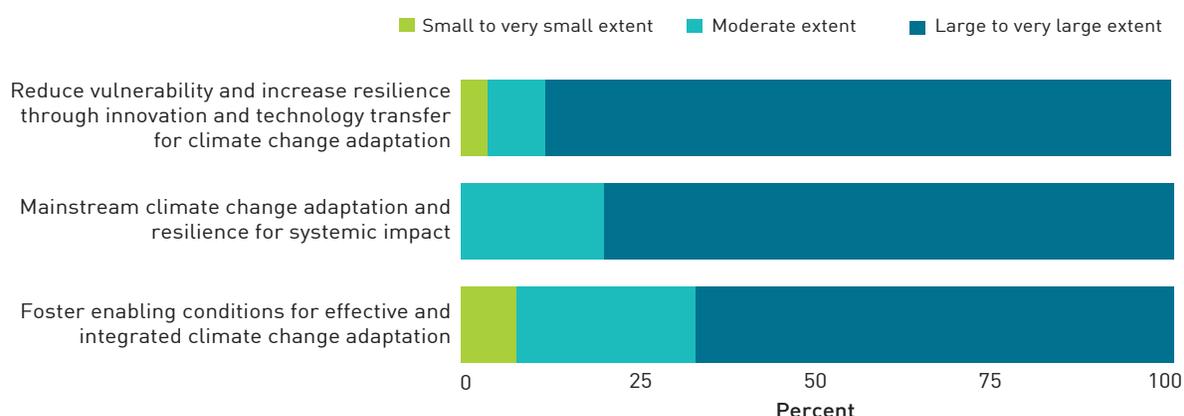
**When considering newer projects, the current LDCF portfolio is well aligned with all three strategic objectives.** [Figure 5.1](#) displays results of a review of recently approved projects for alignment with the current GEF adaptation strategic objectives ( $n = 25$ ). These newer projects are particularly well-aligned with the first two objectives: 22 projects are aligned with objective 1 to a large or very large extent, and 20 are aligned with objective 2 to a large or very large extent. Alignment is still relatively strong with the third objective: 16 of the 25 projects are aligned with that objective to a large or very large extent.

Evaluation interviews reinforced these ratings. Respondents said the LDCF portfolio shows strong alignment with—and clearly supports delivery

**Table 5.1 Comparison of current and previous GEF adaptation strategic objectives and pillars**

Current (since July 2018)	Previous (prior to July 2018)
<b>GEF adaptation strategic objectives</b>	
Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation	Reduce the vulnerability of people, livelihoods, physical assets, and natural systems to the adverse effects of climate change
Mainstream climate change adaptation and resilience for systemic impact	Strengthen institutional and technical capacities for effective climate change adaptation
Foster enabling conditions for effective and integrated climate change adaptation	Integrate climate change adaptation into relevant policies, plans, and associated processes
<b>GEF adaptation strategic pillars</b>	
Expanding catalytic grant and nongrant investments	Integrating climate change adaptation into relevant policies, plans, programs, and decision-making processes in a continuous, progressive, and iterative manner to identify and address short-, medium-, and long-term adaptation needs
Support enabling environments for the private sector to act as an agent for market transformation	Expanding synergies with other GEF focal areas

**Figure 5.1 Alignment of recently approved projects with GEF adaptation strategic objectives**



Source: LDCF project design and performance documents.

of—the strategic objectives. Understandably, the precise nature and extent of contributions to strategic objectives varied from project-to-project. However, the interviews indicated that LDCF projects delivered some common, high-level contributions of relevance and value to all three strategic objectives.

First, all stakeholder groups interviewed expressed the impression that projects helped raise awareness of climate change adaptation,

from communities to senior politicians and decision-makers. For some projects, this increased awareness was purposefully delivered through targeted activities (for example, direct promotional work on adaptation), but more common was a general level of awareness raised simply through each project’s basic, inherent focus on adaptation.

Interviewees identified a second cross-cutting contribution to objectives: direct and indirect institutional capacity development for

adaptation-focused work. Many projects delivered activities expressly targeted at building capacity, but—as with awareness raising—projects often contributed indirectly to capacity development. By virtue of having to manage an adaptation-focused project, institutions were often better-placed to deal with subsequent adaptation funding processes and projects. Several interviewees said that institutional capacities also benefited because the LDCF approach—and adaptation more broadly—requires a degree of cross-sector, cross-Ministry coordination uncommon before LDCF support.

Perhaps the most substantial revision to the GEF adaptation strategic objectives in 2018 was the explicit identification of innovation and technology transfer as the means for reducing vulnerability and increasing resilience. Approaches or elements of LDCF projects are considered innovative if “they

are deliberately applied to tackle an issue, and these approaches (1) have not been used before in the project area, and/or (2) have not been used before to tackle this specific issue. Other elements that make an approach innovative are that the approach needs to be (3) widely replicable, which is linked to being locally appropriate from a technological, environmental, and socioeconomic point of view, and (iv) this should be possible at low economic cost, which links innovation to financial sustainability.” Given this increased emphasis on innovation, the portfolio analysis reviewed terminal evaluations of recently completed projects ( $n = 34$ ), with a view to identifying and characterizing how LDCF projects were already contributing to the new innovation-focused objective. [Table 5.2](#) categorizes the number and proportion of projects exhibiting innovative approaches, with examples provided to illustrate each innovation category.

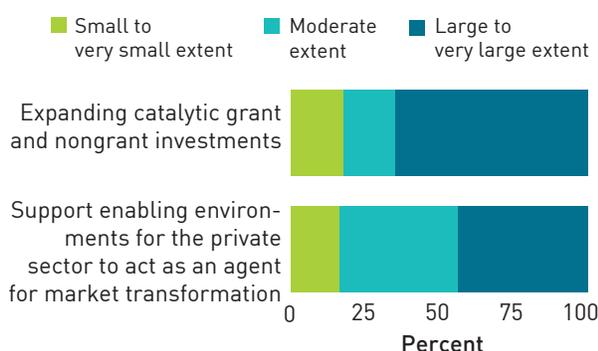
**Table 5.2** Examples of innovative approaches from recently completed projects

Category	Number (% sample)	Illustrative example
Introduction of new technology or adaptation approach	16 (47%)	An IFAD project, Adapting Agriculture Production in Togo (ADAPT) Togo (GEF ID 4570), “tested multiple innovations in the Togolese context (drip irrigation, integrated management of fertility, water, and pests by mushrooms products (GIFERC), use of local species for reforestation, modern beekeeping, selection of improved varieties etc.).” The terminal evaluation reported some innovations were being scaled up, such as GIFERC products, agroforestry parks, and landfills in classified forest areas.
Innovative participatory techniques	3 (9%)	A UNEP project, Vulnerability Assessment and Adaptation Programme for Climate Change in the Coastal Zone of Cambodia Considering Livelihood Improvement and Ecosystems (GEF ID 3890), piloted participatory techniques, including a youth environmental debate on climate change adaptation, which was broadcast on local television.
Adaptation in a new sector	3 (9%)	Two UNDP projects, Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector, and Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks, implemented in Samoa, focused on adaptation and climate resilience in the tourism sector for the first time (GEF ID 4431 and 4585).
Innovative financial mechanisms	2 (6%)	A UNDP project, Promoting Autonomous Adaptation at the community level in Ethiopia (GEF ID 4222), piloted an innovative weather index-based crop insurance mechanism in 8 rural areas, based on variability of rainfall between the sowing and harvest seasons. This financial product proved highly successful. About 77 percent of farmers in the area use it.
Innovative communication techniques	1 (3%)	A World Bank project, São Tome and Príncipe Adaptation to Climate Change (GEF ID 4018), used innovative communications tools such as role play and pictograms to overcome communication barriers arising from beneficiaries’ somewhat limited ability to read and understand weather reports.

Source: LDCF project design and performance documents.

While LDCF portfolio alignment with GEF adaptation strategic objectives was strong, the extent of alignment with the two strategic pillars was less clear, as shown in [figure 5.2](#). The limited alignment can be largely explained by the recentness of the pillar revisions in 2018 ([table 5.2](#)), and the material difference of the new pillars compared to the previous pillars. These recent, major changes have yet to ‘trickle down’ into project design (in contrast to the revised strategic objectives, which were substantively similar to the previous ones). As discussed in the section on LDCF Private Sector Engagement, LDCF projects also face some common challenges in engaging the private sector (the focus of the new strategic pillars).

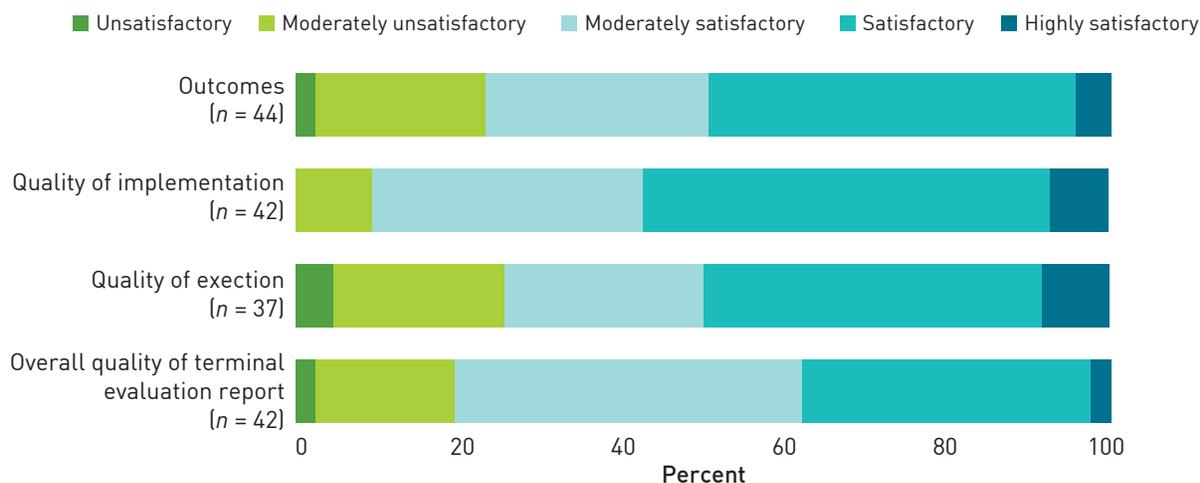
**Figure 5.2** Alignment of recently approved LDCF projects with GEF adaptation strategic pillars



**Most LDCF projects are well implemented and executed.** The GEF’s APR gives some insight into the effectiveness of the LDCF portfolio. The APR provides an annual aggregation of terminal evaluation ratings against several criteria, including criteria directly relevant to project effectiveness. [Figure 5.3](#) summarizes relevant APR ratings for all completed LDCF projects. Among completed projects with ratings available, 77 percent were rated in the satisfactory range for outcomes. For quality of GEF Agency implementation, 90 percent were rated in the satisfactory range, and for quality of performance of executing agencies, 73 percent were rated in the satisfactory range.

Terminal evaluations of recently completed projects provide a wealth of technical lessons learned on climate change adaptation interventions. These shed light on past performance and can provide valuable guidance for future interventions. Fourteen of the 34 projects reviewed included technical lessons on climate change adaptation. By their nature, these lessons are specific to project interventions and therefore do not lend themselves easily to grouping. Highlights are presented below.

**Figure 5.3** Selected APR performance ratings for completed LDCF projects



Source: LDCF project design and performance documents.

The African Development Bank (AfDB) Climate Adaptation for Rural Livelihoods and Agriculture (CARLA) (GEF ID 3302) project in Malawi included various content-technical lessons related to climate change adaptation initiatives in the agriculture sector. These include the finding that treadle pump technology and motorized pumps were not suitable for smallholder farmers in the country context. The former is labor intensive; the latter is costly and environmentally unfriendly. Other lessons from this project are that beneficiary farmers prefer individual woodlots to communal woodlots, and that environmental and conservation measures in catchment areas (upstream) are key to sustained use of irrigation infrastructures developed downstream.

A UNEP project in Lesotho, Improvement of Early Warning System to Reduce Impacts of Climate Change and Capacity Building to Integrate Climate Change into Development Plans (GEF ID 3841), included adaptation trials conducted under difficult conditions, “targeting the most vulnerable households in the six most vulnerable villages of the three most vulnerable districts.” The project’s terminal evaluation includes the lesson “that when adaptation technologies are trialed in extreme conditions without control trials, it is difficult to determine what drives failure or success” (UNEP EO 2018).

Terminal evaluations for two UNDP projects, Adapting Water Resource Management in Comoros to Increase Capacity to Cope with Climate Change (GEF ID 3857) and Enhancing the Resilience of Tourism-reliant Communities to Climate Change Risks (GEF ID 4585), included similar lessons on the importance of a narrow focus to climate change adaptation project designs, rather than “trying to tackle almost every angle of climate change adaptation.” The Comoros project terminal evaluation noted that this can lead to resources being spread thin with small impacts in each area. The evaluation stated, “it is therefore important to maintain a

focus for the project and only include project issues outside the focus area of the project when these are absolutely necessary for success, and it is unlikely that they will be covered by other actors” (UNEP EO 2017a).

## 5.3 Gender

One of the three recommendations issued by the 2016 evaluation of the LDCF was that “the GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF mainstreaming policy and the Gender Equality Action Plan to the LDCF.” The current evaluation therefore assessed not just overall portfolio performance on gender, but also the extent to which the LDCF had responded to the previous evaluation’s recommendation. The assessment was based on portfolio analyses, interviews, and a review of relevant management actions undertaken since 2016.

As part of the portfolio analysis—and repeating an exercise undertaken during the 2016 evaluation—the team rated the extent of gender mainstreaming in LDCF projects against the scale presented in [table 5.3](#).

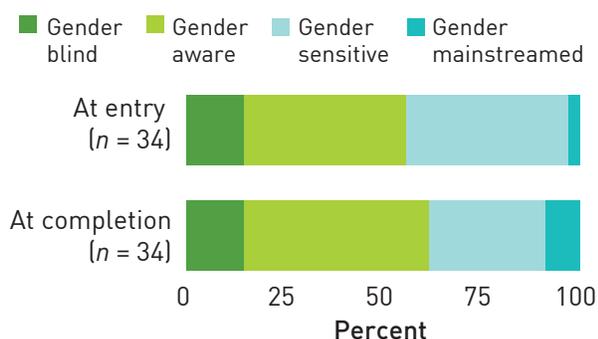
Most projects completed since 2016 are at least rated “gender aware,” however, in 38 percent of projects the extent of gender mainstreaming actually dropped over the course of project implementation. The 34 LDCF projects completed since 2016 were rated at completion. This allowed for a comparison with the same projects’ gender ratings at entry (originally assessed as part of the 2016 LDCF program evaluation) to see whether and how gender mainstreaming changes during the lifetime of a project.

While [figure 5.4](#) provides aggregate figures for the whole sample, an analysis comparing the evolution of project-by-project gender ratings at entry and completion revealed that 32 percent of recently

**Table 5.3 Gender mainstreaming rating scale**

<b>Gender blind</b>	Project does not show awareness of the set of roles, rights, responsibilities, and power relations associated with being male or female.
<b>Gender aware</b>	Project recognizes the economic/social/political roles, rights, entitlements, responsibilities, obligations, and power relations socially assigned to men and women, but might work around existing gender differences and inequalities or does not sufficiently show how it addresses gender differences and promotes gender equality.
<b>Gender sensitive</b>	Project adopts gender-sensitive methodologies (a gender analysis is undertaken, gender-disaggregated data are collected, gender-sensitive indicators are integrated in monitoring and evaluation) to address gender differences and promote gender equality.
<b>Gender mainstreamed</b>	Project ensures that gender perspectives and attention to the goal of gender equality are central to most, if not all, activities. It assesses the implications for women and men of any planned action, including legislation, policies, or programs, in any area and at all levels.
<b>Gender transformative</b>	Project goes beyond gender mainstreaming and facilitates a critical examination of gender norms, roles, and relationships; strengthens or creates systems that support gender equity; or questions and changes gender norms and dynamics.

**Figure 5.4 Gender mainstreaming ratings of LDCF projects completed since 2016**



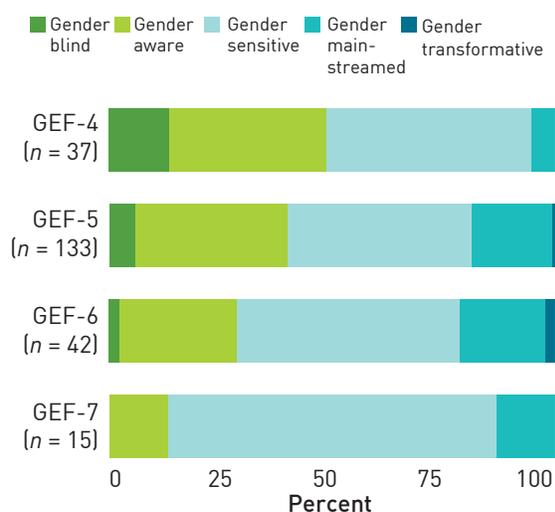
**Source:** LDCF project design and performance documents.

completed projects improved their rating since their first review at entry. However, 38 percent had a lower gender rating at completion in comparison to their rating at entry, and 29 percent of projects showed no change in ratings during project implementation. An International Fund for Agricultural Development (IFAD) project, Integrating Adaptation to Climate Change into Agricultural Production and Food Security in Sierra Leone (GEF ID 3716), was rated gender mainstreamed at entry but was downgraded to gender-sensitive by completion because of limited reporting on gender disaggregated impacts. While the project achieved a gender-sensitive implementation approach

through a Gender Action Learning System methodology, little is known about the impact of some activities since gender-disaggregated data were not consistently reported. Next to this, a UNDP project, Promoting Autonomous Adaptation at the Community Level in Ethiopia (GEF ID 4222), was rated gender-sensitive based on the project documentation provided at entry but was downgraded to gender-aware at completion because no gender analysis was conducted. The UNDP project Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea’s Vulnerable Coastal Zones (GEF ID 3703) and the World Bank project in Kiribati, Increasing Resilience to Climate Variability and Hazards (GEF ID 4068), are examples of projects that were rated gender-blind at entry as they barely touched on the issue of gender, but were upgraded to gender-sensitive at completion as a gender analysis was completed and gender-disaggregated data were collected.

These ratings were incorporated with the ratings assigned during the 2016 evaluation, allowing for an updated assessment of gender mainstreaming across the whole LDCF portfolio. [Figure 5.5](#) presents the ratings for all NAPA implementation and NAP projects, disaggregated by the GEF cycle within which each project was approved.

**Figure 5.5 Gender mainstreaming ratings of LDCF portfolio**



**Source:** LDCF project design and performance documents.

**Note:** Results for two GEF-3 projects are included in totals but not displayed. GEF-7 programming is still underway. Results for all completed projects with terminal evaluations available ( $n = 45$ , of which are 30 are GEF-4 projects and 15 are GEF-5 projects) are at completion, all other results are at entry.

Across the whole LDCF portfolio, gender mainstreaming ratings have clearly improved over time. [Figure 5.5](#) shows an improvement in gender mainstreaming ratings from the GEF-4 to the GEF-6 period. GEF-7 programming is still underway and only 15 projects were available for review during this evaluation, but none of the projects in that GEF-7 cohort were rated as gender blind; however, the proportion of gender mainstreamed projects has dropped. Across the whole LDCF portfolio, only two projects are rated as gender transformative.

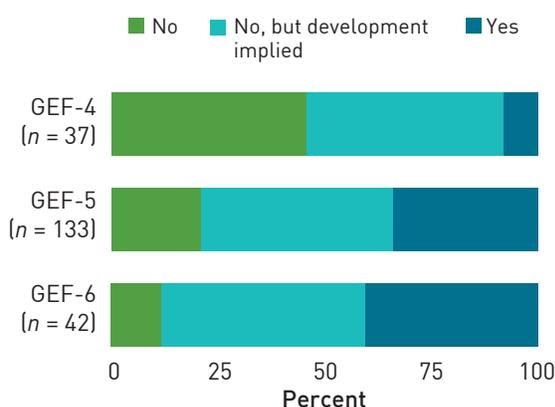
The clear improvement in projects attaining at least a “gender sensitive” rating can be largely attributed to the GEF’s own evolving requirements. Since the 2017 update to the GEF Gender Equality Policy (GEF 2017a), it has been a requirement for any GEF-funded project to undertake “gender analysis or equivalent socioeconomic assessment” at or before CEO endorsement or approval. Undertaking a gender analysis during the design stage is sufficient for a project to attain at least a “gender

sensitive” rating, so the requirements introduced through the 2017 Gender Equality Policy largely explain the high proportion of gender sensitive LDCF projects in GEF-7.

A UNDP project in Timor-Leste, Strengthening the Resilience of Small-Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk (GEF ID 4693), illustrates the value of a gender analysis. Findings from the gender analysis showed weak presence of women in decision-making. For instance, government reports indicated that in 2013, women made up only 2 percent of village chiefs and 28 percent of village councilors. Over the course of the LDCF project, women were involved in 30 different local communities (sucos) to identify projects and priority interventions for the Climate Change Adaptation Planning for Rural Infrastructure Development. This activity provided opportunities for women to openly share their ideas and suggestions and encouraged their involvement in the village planning process, which, ultimately, was assessed as progress toward greater empowerment of women.

When it comes to acting on the gender analysis, the 2018 *Guidance to Advance Gender Equality in GEF Projects and Programs* indicates that a gender action plan or equivalent can be used as “a bridge between gender analysis and implementation, and [as] a tool to help translate and make visible findings of the gender analysis in program/project implementation and evaluation” (GEF 2018d). The guidance also requires projects to develop a gender action plan by the point of CEO endorsement. This guidance is even more recent than the latest Gender Equality Policy, so its influence on the use of gender action plans across the LDCF portfolio cannot yet be ascertained. However, even prior to this guidance there was a trend in the LDCF portfolio toward inclusions of either gender action plans or gender mainstreaming strategies, or plans at design phase to develop these during implementation. [Figure 5.6](#) shows results of a review of projects

**Figure 5.6** Existence of gender action plan or mainstreaming strategy in LDCF portfolio



Source: LDCF project design and performance documents.

for gender action plans or mainstreaming strategies from the GEF-4 to the GEF-6 periods. As GEF-7 projects were both small in number and none were CEO endorsed as of the cutoff date for the evaluation, assessment for this period is not possible.

The importance of acting on the gender analysis is illustrated by a UNEP project, Implementing NAPA Priority Interventions to Build Resilience in the Most Vulnerable Coastal Zones in Djibouti (GEF ID 3408). Review at entry indicated that efforts would be made to ensure equal participation of men and women in project activities. However, the terminal evaluation noted that while women participated in certain project activities, approach to gender equity was described as ad hoc, and that a gender analysis at the time of project formulation, and a gender action plan, would have highlighted key gender-sensitive activities and constraints from the onset, allowing for more gender inclusive designs of activities. Examples included the discovery only after implementation had begun that there were women fishers in the project area (UNEP EO 2017b).

**There is a knowledge gap about the gender-related results of LDCF projects and the extent to which gender analysis and action**

**plans influence gender-related results.** There is only limited evidence that LDCF projects are implementing gender action plans or gender mainstreaming strategies. The portfolio analysis reviewed all 45 projects with terminal evaluations available to ascertain whether gender-related results were delivered. Terminal evaluations for seven of the 45 projects (16 percent) included analysis of gender impacts and direct discussion of the delivery of the project’s gender action plan, or of the impact of their omission. Thirteen evaluations (29 percent) included a discussion of the project’s gender impacts but did not explicitly mention the gender action plan, and 25 (56 percent) of the evaluations did not include any discussion of gender impacts or gender action plans. These figures imply that there is a knowledge gap about the gender-related results of LDCF projects and the extent to which gender analyses and action plans influence gender-related results.

In April 2017, the GEF IEO issued guidelines for GEF Agencies on conducting terminal evaluations for full-sized projects (GEF IEO 2017). The requirements instruct evaluators to report whether a gender analysis was conducted and to consider gender equitable participation and benefits in implementation and tracking of gender-related concerns through the project’s monitoring and evaluation system (GEF IEO 2017). When considering only the LDCF projects with TE publication dates in or after April 2017 (n = 18), only two (11 percent) included analysis of gender impacts and direction discussion of the delivery of the project’s gender action plan, or the impact of their omission, while another five (28 percent) included a discussion of the project’s gender impacts but did not explicitly mention the gender action plan. Thus, these figures also suggest that a majority of recent LDCF terminal evaluations are not fulfilling GEF’s evaluation requirements on gender.

Evaluation interviewees were fully supportive of LDCF’s gender policy, requirements, and guidance,

but most did not see the gender framework as particularly influential in their own institutions. For GEF Agencies, the main determinant of their gender strategies and approaches tended to be their own institutional policies and processes, rather than the GEF's. Some noted that the GEF's requirements and emphasis on gender added more weight to their own efforts, confirming that addressing gender should be a fundamental principle rather than a "tick box" exercise. However, most interviewees believed that more than the LDCF or indeed any one institution, the main driver behind any improvements in addressing gender was the continuing evolution of international norms and consensus.

Following the gender-focused recommendation from the 2016 LDCF evaluation, the revised gender policy is being applied more consistently and has already supported improvements in the gender ratings of LDCF projects approved during GEF-7. The assessment considered the extent to which the gender-focused recommendation from the 2016 LDCF evaluation had been delivered ("the GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF mainstreaming policy and the Gender Equality Action Plan to the LDCF"). Perhaps the most significant developments since 2016 have been the 2017 revisions to the Gender Equality Policy and the 2018 *Guidance to Advance Gender Equality in GEF Projects and Programs*. While it is too early to draw firm conclusions on the long-term influence of these developments, this portfolio analysis suggests that the revised policy is being applied more consistently and has already supported improvements in the gender ratings of LDCF projects approved during GEF-7. Specifically, improvements have come about at least in part because of the new requirement for all GEF-supported projects (including LDCF) to undertake a gender analysis prior to CEO endorsement or approval. Looking beyond gender analyses, the 2018 guidelines justify

and emphasize the value of gender action plans or mainstreaming strategies to operationalize gender analyses. This does serve to improve clarity about the function of gender action plans and their role in GEF-supported projects and in doing so the guidelines help address the previous LDCF evaluation's recommendation.

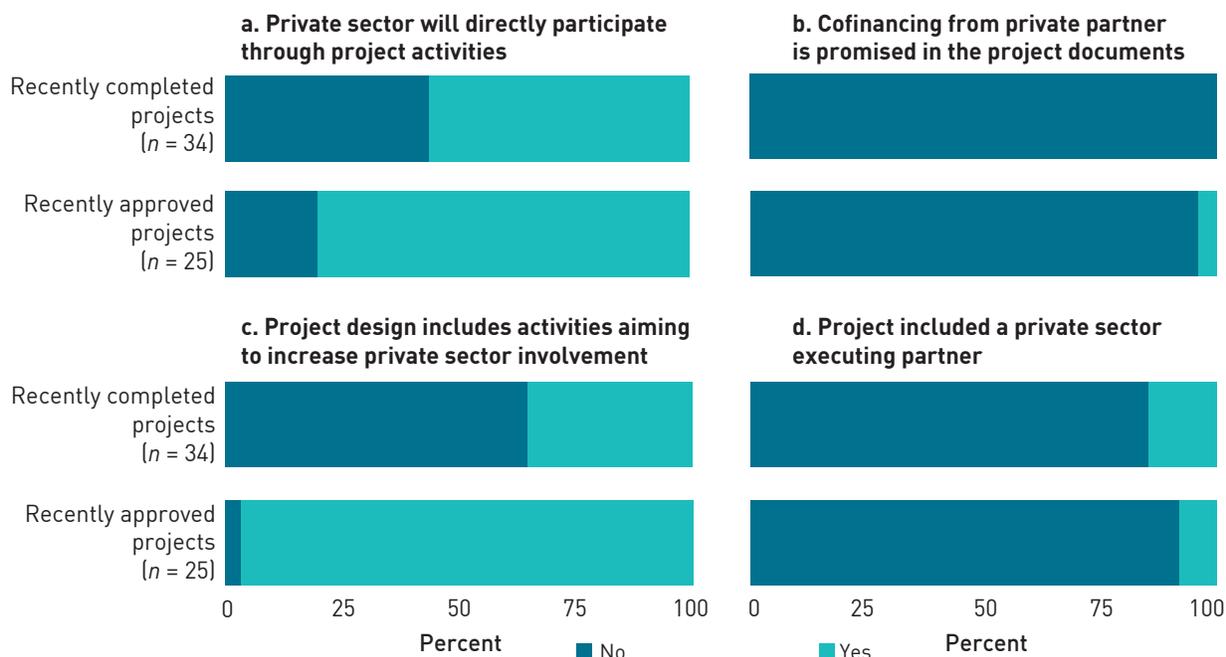
## 5.4 LDCF private sector engagement

Encouraging private sector involvement has always been a strategic principle for the LDCF, but the weight placed on it has increased significantly through the GEF-7 programming directions and the GEF's Adaptation Strategy 2018–2022. Perhaps most notably, the Adaptation Strategy completely reoriented the two adaptation strategic pillars. They are now directly focused on building substantive private sector involvement in the GEF's adaptation work including, of course, the LDCF ([table 5.1](#)). More recently, the GEF has sought to further clarify and formalize its approach through a draft Private Sector Engagement Strategy, which the GEF Council took note of in mid-2020.

It is too early to ascertain the influence of these two strategies on the LDCF's engagement with the private sector, but the portfolio analysis at least indicates the extent and nature of private sector engagement during recent years. The analysis reviewed all LDCF projects that have closed since 2016 ( $n = 34$ ) and recently submitted and approved LDCF projects ( $n = 25$ ), assessing whether private sector entities were involved through the types of project-level engagement outlined in [figure 5.7](#). These categories do not reflect requirements for LDCF projects and programs.

**In completed projects the private sector is more involved as a participant or target of LDCF projects, while engagement as an investor or executing partner has been limited.** Examples among

**Figure 5.7** Type, extent of private sector engagement at entry and by completion



Source: LDCF project design and performance documents.

completed projects that engaged the private sector as participants through project activities include the Implementing NAPA Priority Interventions to Build Resilience in the most Vulnerable Coastal Zones in Djibouti project (GEF ID 3408), which held two private sector training workshops on climate change, impact assessments, coastal issues and corporate social responsibility. While workshop attendees saw the private sector training events as very useful, they were unclear about the next course of action, especially as they required further guidance on environmental and social activities. A UNDP project in Timor-Leste, Strengthening the Resilience of Small Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk (GEF ID 4696), conducted a series of workshops to develop companies’ understanding of climate-induced risks to small scale infrastructure works and adaptation and mitigation measures. As a result, there are now at least 20 local construction companies qualified to design and deploy climate-proofed rural infrastructure across all

subsectors of roads, irrigation, water supply, and flood defense.

**Newer projects give more focus to private sector engagement.** Figure 5.7 indicates that the 25 projects submitted and approved since the 2016 evaluation show a marked increase in the level of private sector participation in project activities and in project designs that explicitly aim to increase private sector involvement. It is plausible that the GEF-7 programming directions and the adaptation strategy had some influence here.

The fund’s two primary focuses on LDCs and on adaptation also represent some of the main challenges to engaging the private sector. Evaluation interviews confirmed the limited extent of substantive private sector engagement in LDCF projects. However, the interviews were also instructive about the potential challenges LDCF projects have faced and are likely to experience in the future. Many interviewees noted that two of the distinguishing

characteristics of the LDCF—the fund’s focus on adaptation and the fund’s focus on LDCs—are the main challenges for generating interest among private sector entities. First, adaptation-focused work can be difficult to ‘sell’ to the private sector, particularly when compared to mitigation-focused activities. Adaptation projects and results are commonly perceived to be less tangible, require long investment time frames, and are highly context-specific (and hence less conducive to replication in different regions or countries). Second, the private sector in LDCs tends to be less developed, more informal, and typically has tighter margins: this can reduce the appetite of both domestic and international enterprises to invest in the (perceived) risky domain of adaptation. Some interviewees said that these perceptions and challenges extend to banking sectors in LDCs. Lenders (macro and micro) tend to have limited understanding of adaptation, and consequently, are less willing to support adaptation-focused initiatives. An additional barrier noted is that LDCF can only use grant instruments, where non-grant instruments may provide more opportunity to secure substantive

private sector involvement. Some interviewees believed that LDCF money was likely to be most useful and private sector engagement likely to be most fruitful in adaptation sectors and geographical areas that the private and banking sectors did not yet serve. In their view, LDCF money should be used to demonstrate, innovate, and crowd-in new investment and interest.

In support of the increased emphasis on private sector engagement across recent strategic documentation, in 2018 the GEF launched the Challenge Program for Adaptation Innovation under the SCCF and LDCF. The program looked beyond the “traditional” GEF Agencies and explicitly sought to attract applications from private sector entities. It is too early to assess the results: as of our evaluation cutoff date, none of the projects had been approved for funding. However, the Challenge Program will be reviewed in more detail in the upcoming evaluation of the SCCF.

# Efficiency of the LDCF

The first recommendation issued in the 2016 evaluation of the LDCF was “the GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the fund.” This section assesses adoption of this recommendation and addresses issues of LDCF efficiency through the following questions:

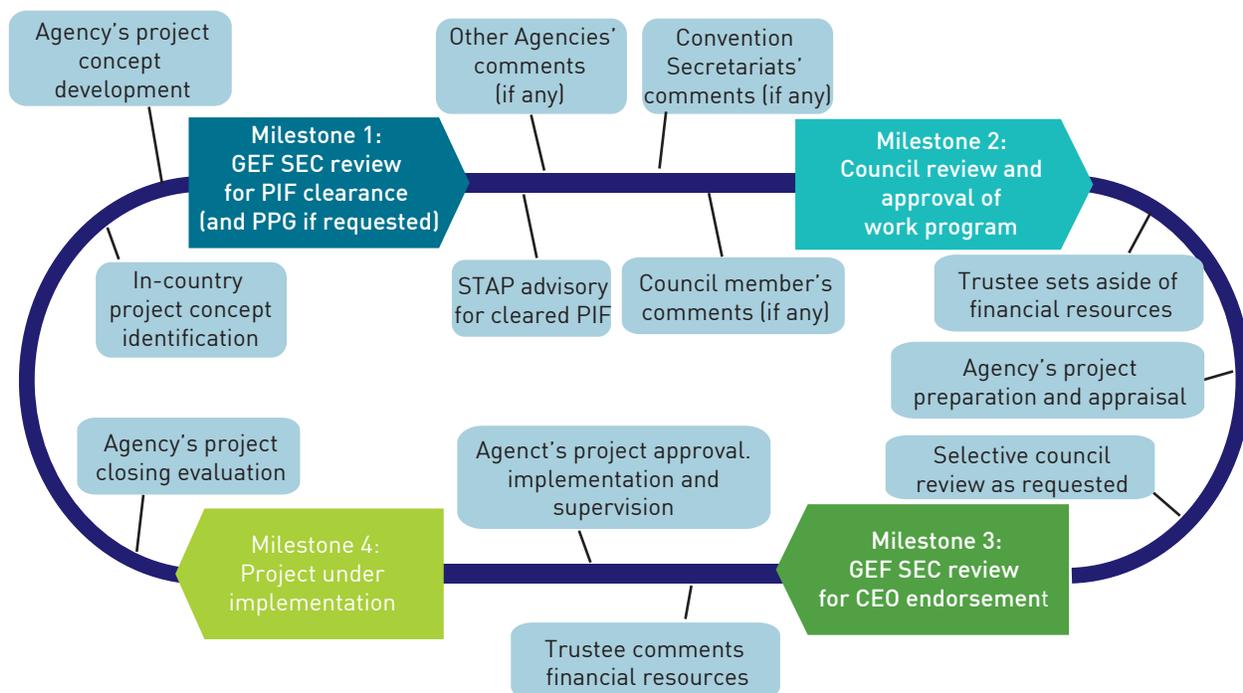
- How have resource flows and resource predictability, or lack thereof, affected the fund’s programming?
- How efficient is the fund’s project cycle as a delivery mechanism?

## 6.1 Project cycle efficiency from first receipt of project concept to approval

**Project cycle analysis shows that during the GEF-5 period, efficiency in the approval process for the LDCF was in line with other GEF-administered funds, but in GEF-6 the approval process slowed considerably.** [Figure 6.1](#) is a diagram of the LDCF project cycle in place during the review (GEF 2016a). The analysis includes all GEF-5 and GEF-6 full-size stand-alone projects for which GEF IEO had a record of dates

for first receipt of concept, council approval, final project approval, and project start date funded by the LDCF trust fund ( $n = 113$ ) as well as the GEF Trust Fund ( $n = 483$ ), and SCCF trust fund ( $n = 35$ ). [Annex I](#) presents a comparison of average time in months from first receipt of project concept to project approval to project start. This analysis shows that LDCF-funded projects are in line with projects from other funds in time needed from project approval to start on most parameters. However, in the GEF-6 period, the approval process took 18 months longer than GEF projects to obtain final approval or endorsement and 22 months longer than SCCF-funded projects. Once again, time from approval to project start was comparable, with an average of four months for LDCF- and GEF-funded projects, and five months for SCCF-funded projects. Taking the GEF-5 and GEF-6 periods together, LDCF projects took an average of 28 months from first receipt of concept to approval, compared to 23 months for the SCCF trust fund and 26 months for the GEF Trust Fund. Average time from project approval to start was very close for all three funds, with an average of five months for LDCF and six months for SCCF and GEF. These findings are supported by interviews with GEF Agencies and country stakeholders, who said that approval can be time consuming overall, but is comparable

**Figure 6.1** GEF project cycle milestones



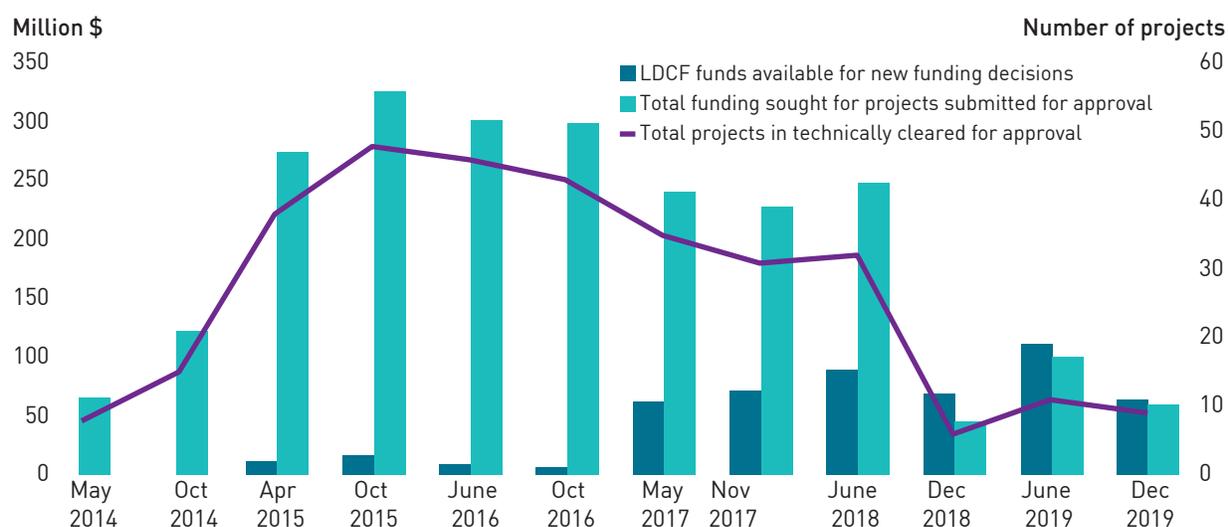
to other donors, taking into account the level of funding.

**A lack of resources available to fund new projects in GEF-6 period explains efficiency decline in approval for LDCF projects.** The pipeline of projects awaiting approval grew considerably after May 2014 because there was a deficit of resources available for new funding approvals compared to resources sought in project proposals seeking CEO approval or endorsement. [Figure 6.2](#) presents funding available for new decisions versus demand for funding for projects submitted for approval, based on GEF Secretariat progress reports to the Council from May 2014 to December 2019. In May and October 2014, the GEF Secretariat reported to the Council that there were no LDCF funds available for new funding decisions. While more funds became available the following year, the deficit between funding sought in projects awaiting approval and funding available continued through December 2018. The deficit in funds to meet

demand reported at each Council meeting ranged from \$66 million to more than \$300 million. A pipeline of projects either technically cleared by the GEF Secretariat or formally submitted for approval remained throughout the GEF-6 period ending April 2018. Twenty-one projects from 17 countries submitted during GEF-6 were still in the pipeline for approval when GEF-7 began and required resubmission for approval as GEF-7 projects. As of December 2019, 11 of these countries had confirmed or revised their GEF-6 pipelined projects for approval in GEF-7 (GEF 2019a).

**Interviewees note efficiency improvements during the GEF-7 period.** These stem from elimination of the pipeline and operational improvements introduced with the GEF Programming Strategy for the LDCF and SCCF and Operational Improvements (GEF 2018c). Project cycle analysis for the GEF-7 period was not possible because no GEF-7 full-size LDCF projects with CEO endorsement dates or start dates

**Figure 6.2** LDCF funds available versus funds sought in projects awaiting approval or endorsement and projects technically cleared for approval



Sources: GEF 2014a, 2014b, 2015a, 2015b, 2016b, 2016c, 2017b, 2017c, 2018f, 2018g, 2019a, 2019b.

were available. However, [figure 6.2](#) shows a correction in the pipeline beginning in December 2018.<sup>1</sup> The Secretariat’s efforts to increase predictability in funding through the operational improvements introduced during this period (outlined below) may have helped avoid a re-emergence of the pipeline, although some caution on the part of GEF Agencies in submitting project proposals may also play a role. Despite reports of improved efficiency, GEF Agencies reported in interviews that experience of the long pipeline during the GEF-6 period left lingering doubts about the availability of resources, which continue to effect decisions to submit project proposals.

## 6.2 Efficiency during implementation

**Compared with GEF Trust Fund projects, full-size project lengths, rates of extensions, and extensions longer than two years are similar.** The team

reviewed completed LDCF, SCCF, and GEF Trust Fund-financed full-size projects approved during GEF-4 and GEF-5 for efficiency in implementation.<sup>2</sup> The team analyzed projects for average implementation duration, rate of projects with implementation extensions, share of projects with extensions of more than two years, and expected and actual cofinancing ratios.<sup>3</sup> The three funds were largely in line on these indicators. SCCF performed better on average project extensions in months and share of projects with extensions two years or longer, although the sample was small. [Table 6.1](#) presents the results.

<sup>2</sup>The sample for comparison comprised full-size project GEF-4 and GEF-5 projects in the GEF IEO terminal evaluation review data set with dates available for actual implementation start, expected date of completion at start, and actual date of completion.

<sup>3</sup>Data gaps are a limitation in this analysis, particularly on project implementation dates in the GEF Secretariat project-level data available on the GEF Portal. Where possible, project dates provided by Agencies or in project implementation reports were included to fill these gaps. Projects with missing or inaccurate dates (start date before approval date) were not considered.

<sup>1</sup>As of September 2020.

**Table 6.1** Duration and average extensions of completed LDCF- and GEF-funded full-size projects

	GEF (n = 364)	LDCF (n = 41)	SCCF (n = 20)
Average project implementation duration (years)	4.9	4.6	4.6
Average project extension (months)	12.7	12.7	9.4
Share of projects with extensions 2 years or longer (%)	17	17	10

**Source:** GEF IEO terminal evaluation database.

**Note:** Only projects with dates available for actual implementation start, expected date of completion at start, and actual date of completion were considered.

**Most frequent causes of project implementation delays were: coordinating between executing partners, recruiting project staff or consultants, changing project executing arrangements, and staff turnover.** The evaluation reviewed terminal evaluations and project implementation reports for issues reported to have delayed project implementation or led to project extension. Reasons listed more than once are summarized in [table 6.2](#).

The LDCF is “primarily aimed at financing the full cost of adaptation for NAPA projects” (GEF 2011). While the GEF Policy on Cofinancing does not apply to the LDCF, and therefore the LDCF does not have cofinancing targets (unlike the GEF Trust Fund),<sup>4</sup> LDCF projects do report on cofinancing expected at entry, which in the context of LDCF-funded projects “is defined as the cost that would be incurred for BAU (Business-as-Usual)” (GEF 2011). Failure of expected cofinancing to materialize can jeopardize performance, while cofinancing can also be an important source of stakeholder buy-in and sustainability. For these reasons, it is worth exploring cofinancing in the LDCF portfolio. [Table 6.3](#) presents information on levels of materialized cofinancing across the GEF Trust Fund, the LDCF, and the SCCF.

<sup>4</sup> The GEF Policy on Cofinancing, which does not apply to either the LDCF or SCCF, sets a target ratio of at least 7:1 for cofinancing to GEF dollars at the portfolio level (GEF 2018e).

**Table 6.2** Delays during implementation

Reported cause of delay	No. of projects
Coordination issues between executing partners	7
Recruitment issues	7
Change in executing arrangements	4
Staff turnover	4
Capacity constraints	3
Delays in disbursements	3
Design issues	4
Recommended extension at mid-term	3
Political unrest	3
Changes in government	2
Complex bureaucratic procedures	2
Delay in project approval delayed implementation	2
Procurement issues	2
Health crisis	2

**Source:** LDCF project performance documents.

### **The LDCF portfolio does not achieve cofinancing as well as other GEF-administered funds.**

The portfolio level and median project level ratio of realized cofinancing to grant financing for completed projects is lower for the LDCF than for the SCCF and the GEF. The portfolio level percentage of promised cofinancing that materializes and the share of projects with at least 90 percent and at least 50 percent of promised cofinancing realized is lower as well. Given that LDCF funds do not aim to meet a target ratio for cofinancing, the

**Table 6.3 Cofinancing across GEF-administered funds**

	GEF (n = 321)	LDCF (n = 31)	SCCF (n = 18)
Materialized cofinancing to grant portfolio ratio	10.9	2.7	4.4
Materialized cofinancing to grant median project ratio	3.17	0.84	3.27
% of cofinancing realized	157	52	62
% of projects with ≥ 90% of promised cofinancing realized	65	42	56
% of projects with ≥ 50% of promised cofinancing realized	80	58	67

**Source:** GEF IEO terminal evaluation review data set.

**Note:** Projects covered are all GEF-4 and GEF-5 projects in the GEF IEO terminal evaluation data set with information on materialized cofinancing available.

lower ratio for cofinancing for LDCF funding is logical. However, the lower number of projects in which promised cofinancing is realized may be cause for concern, as past GEF IEO analysis has found that materialization of expected cofinancing is linked to project performance, including sustainability, particularly when less than half of expected cofinancing is realized at completion (GEF IEO 2019a).

### 6.3 GEF-7 operational improvements

To address LDCF efficiency, the GEF Secretariat introduced proposals for operational improvements in June 2018 as part of the GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF. One of the operational improvements was a shift in the project selection and approval process from “first-come, first-served” to LDCF/SCCF Council work program approval, with a batch of projects selected based on prioritization factors the GEF Secretariat proposed and presented for approval at Council meetings (GEF 2018c). The GEF Programming Strategy presented this move as an effort to address efficiency in light of resource constraints. It noted, “a very strict adherence to the ‘first-come, first-served’ principle of project approvals has revealed numerous limitations in the face of chronic resource constraints,” including difficulties proposing MTF

or multilateral development bank projects that cannot be fast-tracked. It also hindered mainstreaming adaptation and resilience in GEF Trust Fund projects and more ambitious or innovative proposals (GEF 2018c). There is evidence that this change is facilitating submission of MTF projects in the GEF-7 period. When the team prepared this report, 16 LDCF MTF proposals had been submitted in the GEF-7 period, compared to only one in the GEF-6 period.<sup>5</sup>

Other operational improvements introduced in the adaptation programming strategy include intersessional work programs, raising the LDCF funding ceiling from \$40 million to \$50 million with a cap of \$10 million per country, and capacity-building support for LDCF planning and programming. Finally, the strategy addressed the remaining pipeline of GEF-6 projects by clearing the pipeline and holding consultations with countries with projects in the pipeline on resubmitting their projects in the GEF-7 period.

**Multiple Agencies pointed to the operational improvements as positive developments and helpful in planning.** Interviewees also routinely commended the approachability, professionalism, and support of the GEF Secretariat’s LDCF

<sup>5</sup>Based on data in GEF Portal as of September 2020. This includes projects submitted after the September 2019 portfolio cutoff date for this evaluation.

staff. Some Agencies noted a continued lack of clarity around issues such as accessing other GEF resources through multitrust fund projects, and clarity on the remaining funding available per country under the GEF-7 \$10 million cap.

**Uncertainty over resource availability is a concern for stakeholders.** Stakeholders interviewed indicated that these operational improvements are welcome, but that uncertainty over resource availability continues to affect decisions on submissions of project proposals. The option of a replenishment cycle came up in multiple interviews. Several interviewees recommended that at least some research be undertaken on funding and contribution options.

Finally, stakeholders also raised issues on GEF-wide changes during the GEF-7 period which have affected their work with LDCF. One of these is a shift from the GEF Secretariat PMIS to a new platform—the GEF Portal. Several stakeholders interviewed for this evaluation noted difficulties in using the new system for LDCF projects and delays caused by the shift to the system. The transition to the GEF Portal will be assessed in a future GEF IEO evaluation of the GEF’s results-based management system (GEF IEO 2020b). Some Agencies also noted a lack of clarity around changes in the GEF-wide review process, and subsequent extra time in back and forth communications.

## 6.4 Graduation from LDC status

Four countries—Cabo Verde, Equatorial Guinea, Maldives, and Samoa—have graduated from LDC

status. Two additional countries, Angola and Vanuatu, are scheduled to graduate during the GEF-7 period, while three more (Bhutan, São Tomé and Príncipe, Solomon Islands) are scheduled to graduate in 2023 and 2024.<sup>6</sup> The GEF Secretariat’s practice has been to consider projects eligible to receive LDCF support if a country is classified as an LDC when the PIF is approved, and to continue to support projects already approved by the LDCF/SCCF Council prior to a country’s graduation through project completion (GEF 2019d). The GEF Secretariat tried in early GEF-7 to engage Angola and Vanuatu to ensure they could receive LDCF support up to the \$10 million cap for the period before graduation (GEF 2019d).

This evaluation involved a field visit to Samoa, where several stakeholders noted the UNDP’s mobilization efforts to develop a final LDCF project before graduation—the Economywide Integration of Climate Change Adaptation and Disaster Risk Management/Disaster Risk Reduction to Reduce Climate Vulnerability of Communities in Samoa project (GEF ID 5417), which UNDP implemented. This was the largest LDCF-funded NAPA implementation project in the country at \$12.3 million compared to \$1.95 to \$2.4 million for past NAPA implementation projects, demonstrating the efforts made to use resources while available. This example shows that efforts to mobilize funding before graduation can help ensure graduating LDC countries receive all the support they are eligible for.

<sup>6</sup> Source: UNFCCC website, [timeline of country’s graduation from the LDC category](#), accessed October 2020.

# LDCF catalytic effects, sustainability, and additionality

This chapter looks at the catalytic effects of LDCF support, factors that affect sustainability of outcomes, and the additionality of LDCF. The following questions are addressed:

- To what extent have LDCF project outcomes been sustainable postcompletion?
- What has been the additionality, both environmental and otherwise, of the LDCF?

## 7.1 Catalytic effects

This section identifies whether completed LDCF projects have succeeded in generating catalytic effects. The analysis focused on the 45 completed NAPA implementation and NAP projects with performance data available as of September 2019, the cutoff date for this evaluation. The team reviewed 34—of these for this evaluation, while the remaining 11 were reviewed in the 2016 evaluation.

The review first looked at the extent to which LDCF support to NAPA implementation and NAP projects has been catalytic in the following ways:

- **Production of a public good.** The project developed or introduced new technologies or approaches. No significant actions were taken to

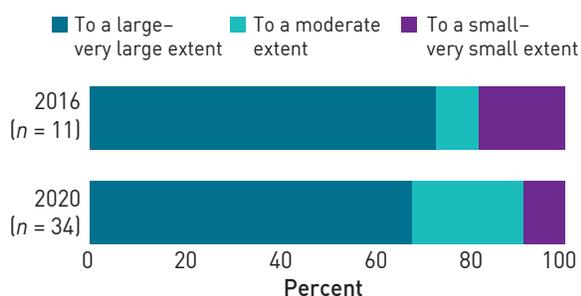
build on this achievement, so the catalytic effect is left to market forces.

- **Demonstration.** After the production of a public good, demonstration sites, successful information dissemination, or training was implemented to catalyze the new technologies or approaches.
- **Replication.** Activities, demonstrations, or techniques were repeated in or outside the project.
- **Scaling up.** Approaches developed through the project were taken up on a regional or national scale, becoming widely accepted.

**Most completed projects produced public goods introducing new technologies or approaches.** For all completed NAPA implementation and NAP projects, roughly 70 percent developed or introduced new technologies or approaches from a large to a very large extent ([figure 7.1](#)). On this indicator, recently completed projects are in line with those already completed for the 2016 evaluation—68 percent of the 34 projects reviewed in 2020 were rated as delivering a public good from a large to a very large extent, versus 72 percent of the 11 projects reviewed in 2016.

**Some 70 percent of completed projects demonstrated new technologies, or approaches.** This is the share of projects rated as having achieved

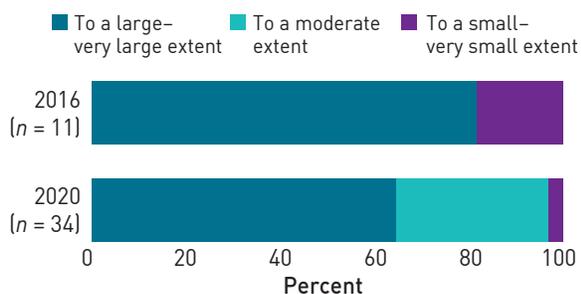
**Figure 7.1** LDCF projects' catalytic effects 2016 and 2020: production of a public good



Source: LDCF project performance documents.

this catalytic effect from a large to a very large extent. [Figure 7.2](#) displays results from the 2016 and 2020 review of catalytic effects from demonstration of public goods developed or introduced. About 80 percent of the projects with a high rating on “public good” also performed well on demonstration. This is evident in the UNDP project Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali (GEF ID 3776), the first LDCF project in country, which, among other activities, introduced climate-smart agricultural practices together with a training series at several scales to raise awareness on the new techniques “in the classroom and around demonstration plots” (UNDP IEO 2016a). Benefits identified include an increase in household income through the sale of surplus production and greater food security among beneficiaries. While a lower

**Figure 7.2** LDCF projects' catalytic effects 2016 and 2020: demonstration



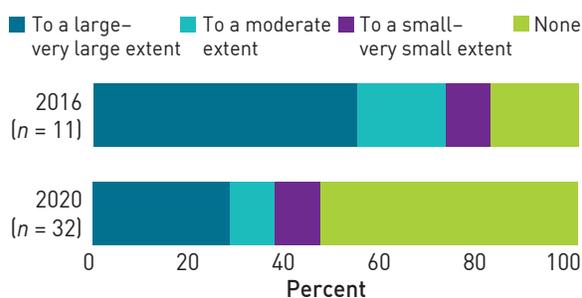
Source: LDCF project performance documents.

share of the 34 projects reviewed for this evaluation were rated as having achieved this indicator from a large to a very large extent compared to the 11 projects reviewed in 2016, it may not be appropriate to draw conclusions on trends given the small number of projects completed in 2016. Past GEF IEO annual performance reports have found that the first projects received pertaining to a certain GEF period tend to perform better than those received later. Performance regresses toward the average as more projects for any one GEF period become available (GEF IEO 2018a). This tendency may also explain lower ratings in the projects reviewed for this evaluation.

**Sixty percent of completed projects achieved replication of approaches.**

They are rated as having achieved replication of approaches from a large to a very large extent. [Figure 7.3](#) displays results from the 2016 and 2020 review of catalytic effects in replicated activities or techniques in and outside the project. About 40 percent of projects showed no evidence that activities, demonstrations, or techniques were repeated in or outside the project. Broader adoption through replication is logically more difficult to achieve than production and demonstration of public goods, which projects control more directly. It is not surprising, therefore, that a lower share of projects catalyze

**Figure 7.3** LDCF projects' catalytic effects 2016 and 2020: replication



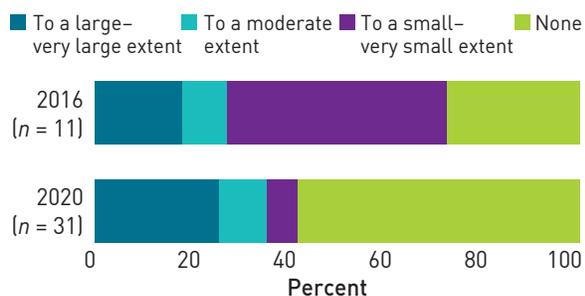
Source: LDCF project performance documents.

Note: Two projects rated unable to assess are excluded from totals.

replication. Terminal evaluations that noted replication often pointed to follow-on funding either in a new LDCF project or a project by another donor. Examples include the UNDP project in Bangladesh, Community Based Adaptation to Climate Change through Coastal Afforestation (GEF ID 3287), where additional LDCF funds had been secured by project end for a follow-on UNDP project, Integrating Community-based Adaptation into Afforestation and Reforestation Programmes in Bangladesh (GEF ID 4700). In other cases, a combination of interest from beneficiaries and identification of financing brought about replication. For example, the FAO project, Integrating Climate Resilience into Agricultural Production for Food Security in Rural Areas of Mali (GEF ID 3979), exceeded initial targets, with the help of significant in-kind contributions from government institutions and farmer organizations themselves who paid for their farmer members to attend trainings and replicated activities on their own. While observations in field visits during the 2016 LDCF evaluation suggested that extensive replication generally may not occur during project implementation, postcompletion field visits to Rwanda and Samoa showed signs of replication after project closure (GEF IEO 2016).

**Half of completed projects show no evidence of regional or national scale-up.** [Figure 7.4](#) displays results from the 2016 and 2020 review of catalytic

**Figure 7.4** LDCF projects' catalytic effects 2016 and 2020: scaling up



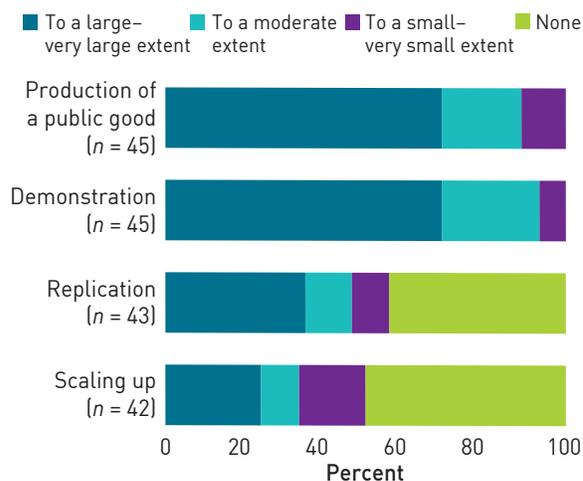
Source: LDCF project performance documents.

effects of scaling up NAPA implementation and NAP project activities. For all completed NAPA implementation and NAP projects, more than 20 percent have developed or introduced new technologies or approaches to a large or very large extent. Like replication, scaling up approaches developed in a project is challenging, especially by project closure. The 2016 LDCF program evaluation found that for projects with lower performance to increase scaling up, additional financing would be required. This evaluation found the same for projects reviewed (GEF IEO 2016). Roughly a quarter of the projects reviewed in 2020 achieved scaling up from a large to a very large extent, a higher share than for projects reviewed in 2016, where only two of the 11 projects reviewed were rated in this range (18 percent).

[Figure 7.5](#) presents information for all completed NAPA implementation and NAP projects on these four catalytic effects. Most projects achieved production of a public good and demonstration, but performance was weaker in replication and even more so in scaling-up.

The evaluation also assessed more specific catalytic effects LDCF projects generated. The team

**Figure 7.5** Catalytic effects in the portfolio of completed projects



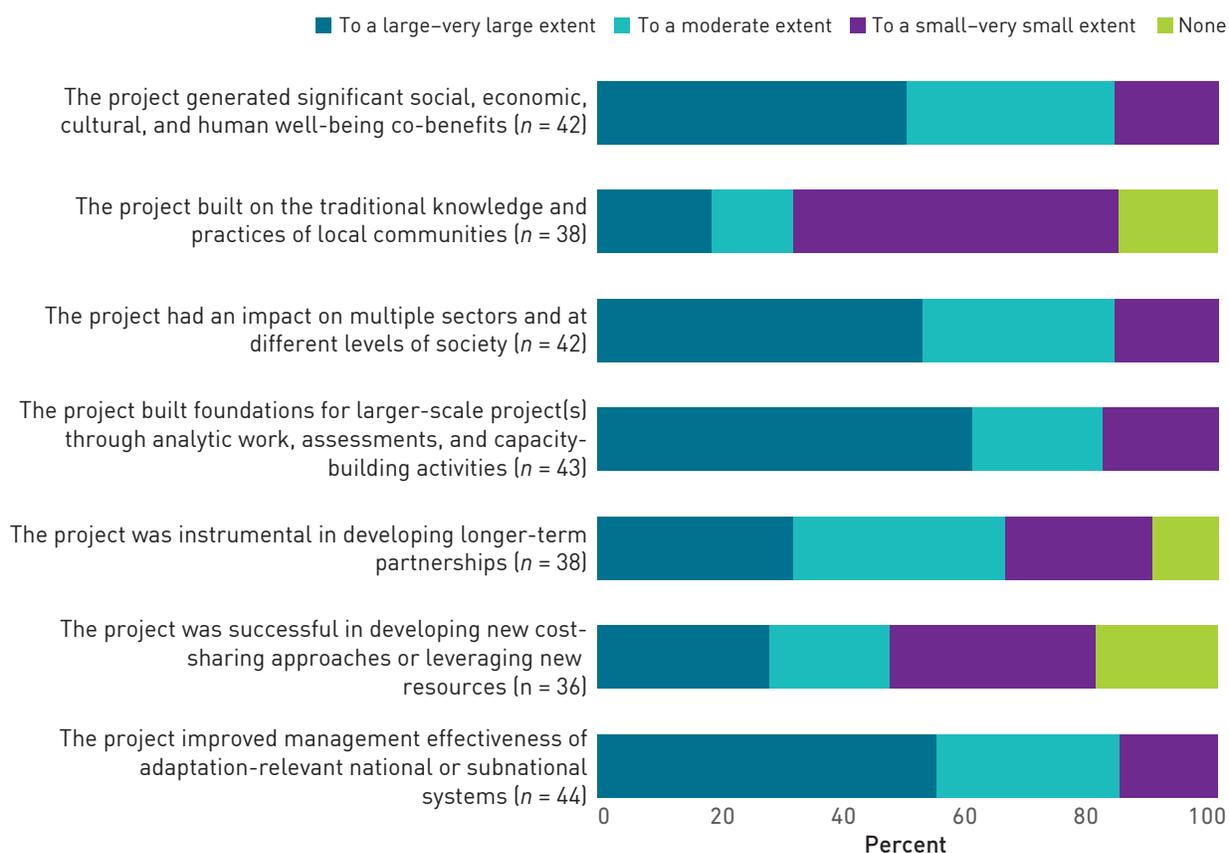
Source: LDCF project performance documents.

used seven indicators of momentum and synergy identified by project stakeholders in the 2016 LDCF program evaluation to measure the LDCF support generated in development programs and institutions. Results for the portfolio of completed projects are presented in [figure 7.6](#).

**Sixty percent of completed projects built foundations for larger scale projects.** This catalytic effect showed the strongest performance. More than 80 percent of projects have achieved this from a large to a very large extent. The second important contribution was improving management effectiveness, seen in 55 percent of the projects from a large to a very large extent). This is consistent with a view multiple stakeholders voiced in interviews: the LDCF supports piloting initiatives that other donors can scale up. The knowledge products created

during a UNDP Maldives project, Increasing Climate Change Resilience of Maldives through Adaptation in the Tourism Sector (GEF ID 4431), such as a synthesis on the key areas of waste and water management, and energy and infrastructure of the tourism sector, contributed directly to the Waste Management Act the Ministry of Environment and Energy developed. A UNDP project, Strengthening Climate Information and Early Warning Systems in Tanzania to Support Climate Resilient Development and Adaptation to Climate Change (GEF ID 4991), established a national integrated database for climate and hydrology information that now provides a central, unified, coordinated information-sharing platform for stakeholders in the climate monitoring system. Using a centralized information access point improves climate and weather data collection and storage for the long term.

**Figure 7.6** Catalytic effects identified by stakeholders



Source: LDCF project performance documents.

Fifty-two percent of projects had an impact on multiple sectors and a different level of society from a large to a very large extent; 50 percent generated significant social, economic, cultural, and human well-being co-benefits. A UNDP project in Timor-Leste, Strengthening the Resilience of Small-Scale Rural Infrastructure and Local Government Systems to Climatic Variability and Risk (GEF ID 4696), for example, generated significant social and economic benefits by implementing water supply systems, reservoirs and irrigation systems, rural access roads and bridges, and river embankments. The new water supply systems now provide water for domestic use, vegetable gardens, cash crops production, and livestock. The roads have become critical linkages for farmers to deliver and sell their produce at markets. Overall, the new infrastructure affected multiple sectors and different levels of the society, as it provided employment, income generation, and social and economic livelihoods while ultimately reducing vulnerability to the impacts of climate change.

**Projects had limited success developing longer-term partnerships and leveraging new resources.** Thirty-two percent of projects were found to have been instrumental in developing longer-term partnerships from a large to a very large extent. Fewer projects develop new cost-sharing approaches or leveraged new resources (28 percent) from a large to very large extent. Only 18 percent of projects were found to have built on the traditional knowledge and practices of local communities from a large to a very large extent. On this last indicator in particular, results for the 34 projects reviewed in 2020 did not perform as well as projects reviewed in 2016, where 75 percent of 11 projects had built on traditional knowledge and practices of local communities to a moderate or greater extent, versus 32 percent of the 34 projects reviewed in 2020. Portfolio review indicated that while many projects have conducted a participatory project design including communities, there is no evidence that

their local or traditional knowledge was effectively integrated into design.

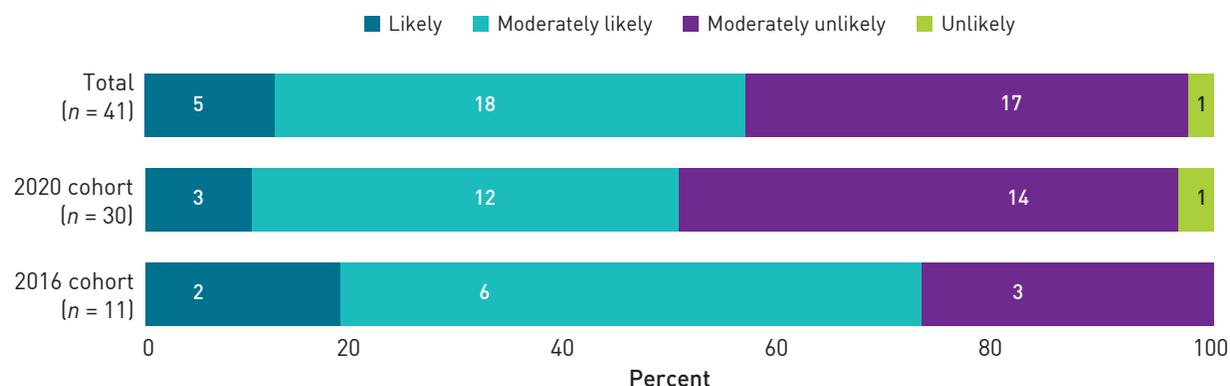
## 7.2 Factors affecting sustainability of outcomes

Sustainability of outcomes is a challenge across all GEF-administered activities which has been examined by the GEF IEO, the GEF STAP, and the GEF Secretariat. At the 57th GEF Council meeting, the GEF Secretariat presented the document “Towards Greater Durability of GEF Investments,” with analysis on key factors influencing durability in GEF projects and programs, as well as a framework for durability design and measures toward improving durability of GEF projects and programs (GEF 2019c). Factors noted in the document include the need for development of project theory of change, multistakeholder processes, stakeholder involvement, and adaptive learning. The factors affecting sustainability of outcomes in the cohort of LDCF projects reviewed reflect many findings from the existing body of work on sustainability within the GEF partnership, including those reflected in the GEF document on durability.

**Fifty-six percent of the LDCF portfolio of completed projects are rated likely to sustain outcomes.** The GEF IEO tracks performance ratings based on information in project terminal evaluations. [Figure 7.7](#) displays sustainability ratings from the GEF IEO terminal evaluation review data set for the portfolio of completed LDCF projects. Figures are presented for all completed NAPA implementation and NAP projects. The cohort of completed projects reviewed as part of the 2016 evaluation is disaggregated from the cohort of more recently completed projects reviewed for this evaluation.<sup>1</sup> Of these projects, sustainability of outcomes was rated

<sup>1</sup>This evaluation includes all projects with terminal evaluations received by the cutoff date, September 2019. Ratings were available for 41 projects. More terminal

**Figure 7.7** APR sustainability ratings in the LDCF portfolio of completed projects



**Source:** GEF IEO terminal evaluation review data set.

**Note:** Figures in the bars represent the number of projects.

likely for five, and moderately likely for 18. Seventeen projects have been rated moderately unlikely for sustainable outcomes. Only one project was rated unlikely. The share of projects reviewed in 2016 with sustainability ratings in the likely range was higher than for projects reviewed in 2020, though the sample is too small to draw conclusions on a trend. Of the sample of 11 projects, 72 percent were rated in the likely range, compared to 50 percent of the 30 projects reviewed in 2020.

**Visits to two completed LDCF projects show varying degrees of continued benefits.** Sustainability ratings are a prediction based on risks at completion. To assess actual sustainability post-completion, the evaluation team visited two projects: Integration of Climate Change Risks and Resilience into Forestry Management in Samoa (ICCRIFS) (GEF ID 4216), implemented by UNDP, and Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas project in Rwanda (GEF ID 3838), implemented by UNEP. While these two projects cannot be

evaluations for other LDCF projects may have become available since then.

considered representative of the LDCF portfolio, they provide valuable illustrative evidence on the sustainability of LDCF outcomes. Both visits revealed evidence of sustainable outcomes, particularly those related to infrastructure, capacity building, and piloted activities. The ICCRIFS project in Samoa made major lasting contributions to management techniques by integrating climate information into the Samoa Forest Resource Information System (SamFris) and tailoring Samoa's Climate Early Warning System (CLEWS) to provide forestry information, as well as training government staff. The wide-scale training on agroforestry techniques conducted in 26 villages across three demonstration sites—two national parks and their adjacent villages, and one of customary lands—also showed signs of continued uptake, although interviewees said uptake varied. The project in Rwanda also delivered significant results that continued, including establishing institutional capacity and infrastructure for forecasting and early warning systems, and farmland rehabilitation through terracing and agroforestry.

In both projects, there was less evidence of results from activities to mainstream climate change in policy and development plans and, consequently, sustainability. In Samoa, while the

project successfully completed a new forestry policy integrating climate risks and resilience, the policy ultimately did not pass. In Rwanda, project participants had largely forgotten work to mainstream climate in district development plans and the national Land Use Master Plan five years after the project was completed. It was essentially lost in the broader effort to develop district and national plans.

Many factors affect outcome sustainability. The team reviewed recently completed projects with terminal evaluations available for discussion of context-related factors outside project management control and project-related factors that helped or hindered sustainability. The team coded factors by theme, presented in [table 7.1](#).

Project terminal evaluations were much more likely to list context-related factors that hindered likelihood of project sustainability than factors that contributed to it. Thirteen of the 34 projects reviewed noted some form of natural disaster during project implementation which hindered likely sustainability of benefits. Other context-related factors hindering sustainability included financial shocks, political unrest, or changes in government during implementation, as well as poor infrastructure in the country. Context factors noted as helping achieve sustainability were the strong presence of other donors in country, and a stable government.

Insufficient capacity of the project team, staff turnover, delays in recruitment, weak project design,

**Table 7.1** Factors that help or hinder sustainability of project outcomes

Positive factors contributing to sustainability	Negative factors hindering sustainability
<b>Context-related factors</b>	
<ul style="list-style-type: none"> <li>● Strong presence of other donors (1)</li> <li>● Stable government (1)</li> </ul>	<ul style="list-style-type: none"> <li>● Natural disaster (13)<sup>a</sup></li> <li>● Financial shock (2)</li> <li>● Political unrest (2)</li> <li>● Change in national government (1)</li> <li>● Poor infrastructure (1)</li> </ul>
<b>Project-related factors</b>	
<ul style="list-style-type: none"> <li>● Effective stakeholder engagement (9)</li> <li>● Effective coordination between executing partners (7)</li> <li>● Strong project design (4)</li> <li>● Recruitment of technical experts (3)</li> <li>● Implementation of midterm recommendations (3)</li> <li>● Effective use of learning exchanges (2)</li> <li>● Strong monitoring and evaluation (2)</li> <li>● Good policy base in country (1)</li> <li>● Incorporation of lessons learned from past projects (1)</li> </ul>	<ul style="list-style-type: none"> <li>● Insufficient capacity on project team (8)</li> <li>● Absence of technical advice (2)</li> <li>● Staff turnover or delays in recruitment (7)</li> <li>● Weak project design (7)</li> <li>● Weak management (7)</li> <li>● Weak monitoring and evaluation (6)</li> <li>● Lack of country ownership (3)                             <ul style="list-style-type: none"> <li>● At local level (2)</li> <li>● At national level (1)</li> </ul> </li> <li>● Expected cofinancing did not materialize (3)</li> <li>● Delays in procurement (2)</li> <li>● Weak preparation and readiness (2)</li> <li>● Project blended with other initiative (1)</li> <li>● Delays in funds disbursements (1)</li> <li>● Project not linked with other relevant initiatives (1)</li> </ul>

**Source:** LDCF project performance documents.

**Note:** Number of projects are indicated in parentheses for each factor.

a. Natural disasters included cyclone or hurricane, drought, health disaster, flood, shoreline erosion, and unpredictable weather.

and weak project management were the most frequently noted project-related factors hindering likely sustainability of project outcomes. Alternatively, effective stakeholder engagement and effective coordination between executing partners were the most frequently noted factors contributing to achieve likely sustainability of project outcomes.

## 7.3 Lessons learned

**Stakeholder involvement is key for sustainability.** The terminal evaluation of a UNDP project in Tuvalu, Increasing Resilience of Coastal Areas and Community Settlements to Climate Change (GEF ID 3694), noted, “The problem of climate change adaptation is essentially transdisciplinary and multisectoral. It requires federating the efforts of various stakeholders and harmonizing their position within a coordinated framework” (UNDP IEO 2016b). This may explain the prevalence of lessons learned on communications and stakeholder involvement. Twenty-nine of the 34 projects reviewed included lessons learned on the importance of communications and stakeholder involvement to project sustainability. Ensuring proper stakeholder involvement in adaptation projects is key both to ensuring that interventions are relevant and appropriate in the specific project context, and for creating stakeholder buy-in and lasting investment. For example, the terminal evaluation for a UNDP project, Enhancing Adaptive Capacity and Resilience to Climate Change in the Agriculture Sector in Mali (GEF ID 3776), reported that communities and civil society were not involved in planning the trials of the adaptation technologies, which hindered their success. The lesson learned was, “community involvement in all aspects of planning adaptation technologies is critical for achievement of results and sustainability” (UNDP IEO 2016a). At the national level, the terminal evaluation for the AfDB-implemented Climate Adaptation for Rural Livelihoods and Agriculture project in Malawi (GEF ID 3302) suggested that fostering collaborative

interministerial relationships and arrangements should be included as a distinct output where possible. Finally, the postcompletion visit to Rwanda for the Reducing Vulnerability to Climate Change by Establishing Early Warning and Disaster Preparedness Systems and Support for Integrated Watershed Management in Flood Prone Areas project (GEF ID 3838) identified the strength of national ownership and leadership and deep involvement of the Rwandan authorities in project design, oversight, and implementation as key factors both in the project’s success and in ensuring that learning from the project was retained and institutionalized in Rwanda.

Lessons learned emphasized the importance of community-level buy-in, along with recommendations on how best to achieve this in 10 of the 34 recently reviewed terminal evaluations. For example, the terminal evaluation for the UNDP project, Increased Resilience and Adaptation to Adverse Impacts of Climate Change in Guinea’s Vulnerable Coastal Zones (GEF ID 3703), said, “project interventions targeted at working with population in communities, such as early warning system projects, tend to deliver better results in more effective and efficient ways when implemented by experienced NGOs rather than government and its staff that has its regular daily working obligations” (UNDP IEO 2016c).

**Continued financing is important to sustainability.** In both projects visited by the evaluation for postcompletion assessment, it was found that activities integrated into ongoing government work and budget, such as infrastructure and government capacity building for early warning systems, have proven more sustainable. In Samoa, piecemeal funding for follow-up work with project villages on a local-level pilot intervention led to varying levels of continued work and benefits from the project. Interviewees in the Samoan Ministry of Natural Resources and Environment Forestry Division reported they have only been able to follow up

with a few of the villages involved and found that postcompletion, some communities did not have the money to implement community management plans developed during the project, or were unable to finance all project activities. The continued impact of work with communities has varied, depending on follow-up support from government and other funding sources. The ministry's water division has worked with some of the villages involved in ICCRIFS postcompletion as part of its regular programming. It has used the environmental management plans developed as part of the project to identify priorities for implementation. Interviewees noted that in some cases, villages have used plans developed through the ICCRIFS project to develop proposals for funding from other sources, including the GEF Small Grants Programme.

## 7.4 Additionality of the LDCF

GEF additionality is the additional outcomes (environmental and other) that can be directly connected with the GEF-supported project or program (GEF IEO 2020a).<sup>2</sup> The IEO classifies additionality in six areas: specific environmental additionality, legal and regulatory additionality, institutional and governance additionality, financial additionality,

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<sup>2</sup>The GEF IEO approach to additionality (GEF IEO 2020a) includes a more detailed discussion of definitions of additionality across agencies, as well as the explanation of the definition the GEF IEO adopted: in the attainment of direct project outcomes at project completion that can be attributed to GEF interventions; these can be reflected in an acceleration of the adoption of reforms, the enhancement of outcomes, or the reduction of risks and greater viability of project interventions. Spill-over effects beyond project outcomes that may result from systemic reforms, capacity development, and socioeconomic changes. Clearly articulated pathways to achieve broadening of impact beyond project completion that can be associated with GEF interventions.

socioeconomic additionality, and innovation additionality (GEF IEO 2020a).

**LDCF's most distinctive facet is its sole dedication to LDCs.** The majority of stakeholders interviewed appreciated LDCF's ringfencing resources for LDCs and that LDCs need not "compete" with higher-capacity countries. Furthermore, the comparative age of the LDCF means applicants are familiar with processes and proposal development. Approval and implementation are comparatively smooth as they are based on well-established procedures that countries and Agencies are now well-practiced in, compared to more recently established funds such as the Green Climate Fund. Several interviewees also identified the LDCF as more open to taking risks in LDCs and investing in innovation compared to other funds.

**LDCF has contributed innovation and institutional strengthening additionalities beyond adaptation benefits.** Innovation is strongly emphasized in the LDCF and recently completed projects have contributed to innovation additionalities (see [table 5.2](#)). LDCF activities have also contributed to institutional capacity development for adaptation-focused work through implicit project components and indirectly through the process of developing and implementing LDCF projects. Results have been achieved to varying degrees in other areas of additionality, including environmental and socioeconomic, with the weakest area being financial additionalities in securing nondonor financing. The two postcompletion evaluations in Rwanda and Samoa found that innovation and institutional additionalities achieved continued years after project closure.

# Conclusions and recommendations

## 8.1 Conclusions

### RELEVANCE OF LDCF SUPPORT

**Conclusion 1:** LDCF support continues to be highly relevant to COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs. The 2016 LDCF program evaluation reported strong alignment between LDCF-financed activities and COP guidance and decisions, the GEF adaptation strategic objectives, and countries' environmental and sustainable development agendas. This evaluation has found continued strong alignment since 2016. Additionally, a large portion of the LDCF's work is inherently aligned with the Paris Agreement through its support of adaptation related NDCs/INDCs. Notably, in response to recent COP guidance based on findings of the 2016 LDCF program evaluation, the LDCF has enhanced domestic institutional capacities in LDCs by supporting institutional capacity development through the involvement of national institutions in LDCF project development, approval and delivery.

### EFFECTIVENESS OF THE LDCF

**Conclusion 2:** LDCF project design clearly contributes to the three recently revised GEF adaptation strategic objectives; contributions to the two new strategic pillars were not as strong. The nature and extent of contributions varied from project to project, but the overall LDCF portfolio clearly contributed to reducing vulnerability and increasing resilience, mainstreaming climate change adaptation, and strengthening the enabling conditions for effective and integrated adaptation. LDCF projects invariably also helped raise general awareness of adaptation across all stakeholder groups. They commonly supported strengthening institutional capacities for adaptation-focused work. Contributions to the new GEF adaptation strategic pillars in project design were less pronounced. This is partly because the pillar revisions were only adopted in 2018, so they have yet to have a marked influence on LDCF project design.

**Conclusion 3:** The overall gender performance of the LDCF portfolio has improved. The use of gender analysis during project design is widespread. Revisions to the GEF's Gender Equality Policy have contributed to improved gender mainstreaming performance across the LDCF.

Particularly influential has been a new requirement for all GEF-supported projects to undertake a gender analysis prior to CEO endorsement or approval. The *Guidance to Advance Gender Equality in GEF Projects and Programs* (GEF 2018d) has also helped clarify how gender analyses can be operationalized through gender action plans or mainstreaming strategies. However, there is a knowledge gap in the gender-related results of LDCF projects: it is particularly concerning that most LDCF terminal evaluations fail to undertake any form of gender-focused assessment, even among those published after the GEF IEO guidelines made it a requirement.

**Conclusion 4: Substantive engagement with the private sector is limited, and LDCF projects face common challenges.** Most LDCF projects deliver activities that aim to increase private sector involvement or deliver activities with some private sector participation. However, beyond such activity-level engagement, the private sector has very limited substantive involvement in implementing LDCF projects, for example as delivery partners or investors. Interviews with GEF Agencies identified two common challenges LDCF projects face: banking and private sectors are comparatively less developed in LDCs, and it is difficult to attract private sector interest and investment in adaptation-focused work. These two factors arguably make private sector engagement even more challenging for LDCF projects compared to other GEF funding mechanisms.

## EFFICIENCY OF THE LDCF

**Conclusion 5: The lack of resources available for new projects during GEF-6 clearly reduced the efficiency of the LDCF project approval process.** Project cycle analysis shows that during the GEF-5 period, the LDCF efficiency approval process matched other GEF-administered funds. In GEF-6, however, the LDCF approval process slowed

considerably, because of a lack of resources available for new projects. Several interviewees noted improvements in efficiency during the GEF-7 period, stemming from eliminating the pipeline and operational improvements the GEF Programming Strategy for the LDCF and SCCF and Operational Improvements introduced. Despite welcome operational improvements, uncertainty over resource availability remains a concern among stakeholders.

**Conclusion 6: Once implementation has begun, efficiency of LDCF projects is comparable to other GEF-administered funds.** Comparisons with other GEF funds show similar project lengths, numbers of projects with extensions, and projects with extensions of longer than two years for full-size projects between funds. The most often reported causes of delays in project implementation arise from difficulties coordinating between executing partners and recruiting project personnel, changes in project executing arrangements, and staff turnover.

## CATALYTIC EFFECTS, SUSTAINABILITY, AND ADDITIONALITY OF THE LDCF

**Conclusion 7: LDCF support has resulted in catalytic efforts through production of public goods and their demonstration.** Most completed LDCF projects have produced public goods in the form of new technologies or approaches and demonstrated new technologies and approaches by disseminating information through training or at demonstration sites from a large to a very large extent. Replication and scale-up are more difficult to attain, especially by project closure.

**Conclusion 8: LDCF support has built foundations for larger scale projects.** In the areas where stakeholders have identified catalytic effects, the strongest performance for the portfolio of completed projects was building foundations for larger

scale projects—60 percent have done so from a large to a very large extent—and improving management effectiveness of adaptation-relevant national and subnational systems, which 55 percent of projects have achieved to a large or very large extent. Projects were less successful being instrumental in developing longer-term partnerships—32 percent of projects achieved this to a large or very large extent; 28 percent developed new cost-sharing approaches or leveraged new resources to a large or very large extent and built on the traditional knowledge and practices of local communities.

**Conclusion 9: Many factors, both in and outside a project’s control, affect outcome sustainability.** Postcompletion visits to LDCF projects revealed project-supported benefits continued to varying degrees. Continued financing is an important factor in sustainability. LDCF terminal evaluations identified common project-related factors that hindered outcome sustainability, including insufficient capacity of the project team, staff turnover and delays in recruitment, weak project design, and weak project management. The reports most frequently noted effective stakeholder engagement and effective coordination between executing partners as factors contributing to sustainability.

## 8.2 Recommendations

**Recommendation 1: Build on progress made on mainstreaming gender in the LDCF portfolio and aim to decrease the knowledge gap about gender-related results.** The GEF Secretariat and GEF Agencies should continue to build on progress made since the 2016 LDCF program evaluation toward inclusion of gender considerations by ensuring that the 2017 Gender Equality Policy and related guidance is fully operationalized, including the development and implementation of robust gender action plans. To narrow the knowledge gap, GEF Agencies should fulfill evaluation requirements on gender in terminal evaluations and report on the conduct of gender analysis and monitoring and evaluation of gender equitable participation and benefits in implementation.

**Recommendation 2: Continue to enhance the likelihood of the sustainability of outcomes.** The GEF Secretariat and GEF Agencies should continue to carry out relevant actions in project design and implementation as highlighted in the Council document “Towards Greater Durability of GEF Investments.” This should entail giving more emphasis to the project and context factors identified by this evaluation as affecting the sustainability of outcomes during project design and implementation.

# Approach paper

*This annex has been lightly edited for style and consistency. Its original annexes have been appended to this final evaluation report and the references updated accordingly.*

## A.1 Background and context

### INTRODUCTION

1. At its 26th meeting in June 2019, the Least Developed Countries Fund/Special Climate Change Fund (LDCF/SCCF) Council approved the Four-Year Work Program of the GEF's Independent Evaluation Office (GEF IEO) (GEF IEO 2019c) which includes an update to the 2016 program evaluation of the LDCF during fiscal year 2020 (GEF IEO 2016). The IEO will evaluate the LDCF focusing on performance and progress towards LDCF objectives and results in the four years since the 2016 evaluation. The evaluation will follow-up on conclusions and recommendations of the 2016 LDCF evaluation and will provide the LDCF/SCCF Council with evaluative evidence of the Fund's relevance and emerging results. An overview of the 2016 LDCF evaluation recommendations is provided in [appendix A](#).

## A.2 LDCF background and portfolio

2. The LDCF was established as one of the climate change adaptation financing mechanisms of the United Nations Framework Convention on Climate Change (UNFCCC), in response to guidance from the Seventh Conference of Parties (COP) in Marrakech in 2001 (UNFCCC 2001). The LDCF is mandated by the UNFCCC to, among other responsibilities, provide support to the climate adaptation efforts of least developed countries (LDCs)—including the preparation of national adaptation programs of action (NAPAs), implementation of NAPA priority projects in LDCs, preparation of the national adaptation plan (NAP) process in eligible developing countries, and for other elements of the LDC work program.<sup>1</sup> The LDCF also serves the Paris Agreement as its financial mechanism. [Box A.1](#) defines key terms used and [annex F](#) provides a summary of UNFCCC COP guidance and decisions regarding the LDCF. Recent UNFCCC COP guidance includes a request based on findings of the 2016 LDCF Program Evaluation

<sup>1</sup> See [annex F](#) for UNFCCC COP guidance and decisions regarding the LDCF.

### Box A.1 GEF strategic objectives and pillars

The GEF Programming Strategy on Adaptation to Climate Change for the LDCF and SCCF (July 2018 to June 2022) has three strategic objectives):

- Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation.
- Mainstream climate change adaptation and resilience for systemic impact.
- Foster enabling conditions for effective and integrated climate change adaptation.

Private sector engagement will be fostered for the LDCF and SCCF through the three objectives of this strategy and implemented through the following two pillars:

- Expanding catalytic grant and nongrant investments
- Support enabling environments for the private sector to act as an agent for market transformation.

The results framework of the GEF Adaptation Program is provided in [annex H](#).

Source: GEF 2018c.

“to continue to enhance capacity development in the least developed countries for the development of project proposals with a focus on identifying potential funding sources, both national and international, and enhancing long-term domestic institutional capacities.”<sup>2</sup>

3. NAPAs provide a process for LDCs to identify priority activities that respond to their **urgent and immediate needs** to adapt to climate

<sup>2</sup> [FCCC/CP/2016/10/Add.1 Decision 11/CP.22](#) pars. 14 and 15.

change—those for which further delay would increase vulnerability and/or costs at a later stage. The main content of NAPAs is a country-driven list of ranked priority adaptation activities and projects, designed to facilitate the development of proposals for implementation of the NAPA. The focus is on short-term outputs and potential long-term outcomes. As of the most recent LDCF/SCCF progress report to Council, April 30, 2019, 51 LDCs had accessed \$12.20 million in support of the preparation of their NAPA (GEF 2019b). [Annex G](#) contains an overview of completed NAPA country reports. Additionally, 210 projects have been CEO Endorsed/Approved to implement priorities identified in NAPAs, representing \$1,161 million in LDCF funding.

4. NAPs provide a process for LDCs to formulate and implement activities that focus on **medium- and long-term adaptation needs**, building on the experience of the LDCs in addressing urgent and immediate adaptation needs through the NAPAs. As of the April 30, 2019 LDCF/SCCF progress report to council, LDCF support towards the NAP processes totaled \$71.63 million (GEF 2019b). This support has come both in the form of projects focused solely on advancing NAP processes, and projects which combine support to the NAP process with adaptation investments for NAPA implementation. As of September 2019, the cutoff for this evaluation, 11 projects have been identified by the GEF Secretariat as providing support to the NAP process.

5. The GEF acts as an operating entity of the UNFCCC financial mechanism and was entrusted with the financial operation of the LDCF. The LDCF is separate from the GEF Trust Fund, and— together with the SCCF—has its own council. The governance structure, operational procedures and policies that apply to the GEF Trust Fund are also applied to the LDCF and SCCF. However, the LDCF/SCCF Council can modify the procedures in response to COP guidance or to facilitate LDCF/

SCCF operations to enable them to successfully achieve their objectives.

6. Since it entered into force in November 2016, the LDCF is part of the operating entity of the financial mechanism for the Paris Agreement and the UNFCCC. The LDCF is entrusted to continue to play a key role to strengthen developing countries' resilience to climate change, with a renewed focus on implementation. At the heart of the Paris Agreement and the achievement of long-term goals are the nationally determined contributions (NDCs).<sup>3</sup> Each country outlines its efforts to reduce national emissions and to adapt to impacts of climate change. LDCF supports the adaptation-related NDCs and seeks to align its programming with priorities identified in NDCs.

7. Unlike the GEF Trust Fund, which is replenished every four years, the LDCF receives voluntary contributions with no regular replenishment schedule. This has led to a high level of financing uncertainty. At the 24th LDCF/SCCF Council meeting in June 2018, the GEF Secretariat modified the LDCF project selection and approval process to improve pipeline management from a "first-come, first-served" basis to batch approvals of projects through work programs to be approved by the LDCF/SCCF Council (GEF 2018b). Projects constituting the work program are selected based on agreed upon factors for prioritization, similar to the process undertaken for the GEF Trust Fund. The first LDCF work program was submitted to the LDCF/SCCF Council for approval at its 25th meeting in December 2018 (GEF 2018i).

8. There are currently 18 GEF Agencies that can access LDCF funding. They comprise the original three GEF Implementing Agencies—the United Nations Development Programme (UNDP), the United Nations Environment Programme (UNEP),

and the World Bank—plus the seven former Executing Agencies—the Asian Development Bank (ADB), the African Development Bank (AfDB), the European Bank for Reconstruction and Development, the Inter-American Development Bank, the Food and Agricultural Organization of the United Nations (FAO), the International Fund for Agricultural Development (IFAD), and the United Nations Industrial Development Organization (UNIDO). These 10 GEF Agencies are joined by the 8 accredited GEF Project Agencies, which have no corporate responsibilities: Conservation International, the Development Bank of Latin America (CAF), the Development Bank of Southern Africa (DBSA), the Foreign Economic Cooperation Office, the Ministry of Environmental Protection of China (FECO), Fundo Brasileiro para a Biodiversidade (FUNBIO), the International Union for Conservation of Nature and Natural Resources (IUCN), the West African Development Bank (BOAD), and the U.S. World Wildlife Fund (WWF-US). This paper uses the term "GEF Agencies" to refer to both GEF Agencies and GEF Project Agencies.

9. These 18 GEF Agencies have direct access to LDCF for the preparation and implementation of activities financed by the Fund. As of March 31, 2019, nine GEF Agencies were involved in LDCF operations (ADB, AfDB, FAO, IFAD, IUCN, UNDP, UNEP, UNIDO, and World Bank). The largest share of the portfolio is held by UNDP with 54 percent of total funds approved (GEF 2019b). The UNDP has assisted a large number of countries in preparing their NAPAs and follow-up NAPA implementation projects.

10. At the 24th LDCF/SCCF Council Meeting in June 2018 the new GEF Programming Strategy on Adaptation to Climate Change for the LDCF/SCCF and Operational Improvements was approved. The findings and conclusions of the 2016 LDCF program evaluation and 2017 SCCF program evaluation contributed to the revision of the GEF programming strategy on adaptation to Climate Change.

<sup>3</sup> More information is available on the UNFCCC [Nationally Determined Contributions \(NDCs\)](#) webpage.

The goal of the strategy is to strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries and support their efforts to enhance adaptive capacity. The strategy includes updates to the three strategic objectives and a stronger emphasis on private sector engagement for the LDCF and SCCF, presented in [box A.1](#), with definitions provided in [box A.2](#). The strategy also seeks to enhance gender equality and mainstreaming and strives to enhance coordinated and synergistic programming with

### **Box A.2 Intergovernmental Panel on Climate Change definitions of key terms**

The UNFCCC COP guidance and decisions on the LDCF ([annex F](#)) and GEF strategic objectives and pillars ([box A.1](#)) use several key terms defined by the Intergovernmental Panel on Climate Change:

**Adaptation.** The process of adjustment to actual or expected climate and its effects. In human systems, adaptation seeks to moderate or avoid harm or exploit beneficial opportunities. In some natural systems, human intervention may facilitate adjustment to expected climate and its effects.

**Capacity building.** The practice of enhancing the strengths and attributes of, and resources available to an individual, community, society, or organization to respond to change.

**Resilience.** The capacity of social, economic, and environmental systems to cope with a hazardous event, trend, or disturbance, responding or reorganizing in ways that maintain their essential function, identity, and structure, while also maintaining the capacity for adaptation, learning, and transformation.

**Vulnerability.** The propensity or predisposition to be adversely affected. Vulnerability encompasses a variety of concepts and elements, including sensitivity or susceptibility to harm and lack of capacity to cope and adapt.

**Source:** IPCC 2018.

other major climate funds as well as with other GEF focal areas.

11. An overview of LDCF support to NAPAs, NAPA implementation projects, and projects supporting the NAP process by project type is presented in [table A.1](#).<sup>4</sup> To date, 281 LDCF projects have been approved by Council, or have advanced beyond this stage in the project cycle.<sup>5</sup> Fifty-one of these projects, and \$11.3 million in LDCF funding, has gone to enabling activities (EA), all of which support the formulation of NAPAs. Twelve medium-size projects have been approved by Council, representing \$21.1 million in LDCF funding. Eleven of these support implementation of NAPA priorities, while the remaining project is focused on advancing NAP processes in LDCs. The 218 full-size projects which have been Council approved represent \$1.4 billion in LDCF funding, with 208 of these focused on implementation of NAPA priorities, and an additional 10 either combining support towards NAP processes with implementation of NAPA priorities, or focused entirely in advancing NAP processes. As of the March 31, 2019 Progress Report on the LDCF and SCCF, cumulative pledges to the LDCF amounted to \$1,399.88 million, of which \$1,347.86 million had been received, with resources available for new funding decisions amounting to \$112.06 million (GEF 2019b).

12. Fifteen of the 218 FSPs presented in [table A.1](#) are multitrust fund (MTF) projects, which combine LDCF resources with resources from SCCF, GEF, or other trust funds. MTF projects were introduced during the GEF-5 replenishment period (GEF IEO 2016). While 14 MTF projects including LDCF financing were submitted for approval during the GEF-5 period (13 of which were approved and are

<sup>4</sup> Categorization of projects supporting the NAP process has been provided by the GEF Secretariat.

<sup>5</sup> An overview of the LDCF project cycle and approval process is available in GEF (2009).

**Table A.1** LDCF portfolio by project type

Project type <sup>a</sup>	No. of projects	Budgetary allocation (million \$) <sup>b</sup>			Cofinancing (as % of total)
		LDCF financing	Cofinancing	Total	
Enabling activity	51	11.3	1.3	12.5	10
Medium size-project	12	21.1	64.3	85.4	75
Full size-project	218	1,394.6	6,863.0	8257.6	83
Total	281	1,426.9	6,928.6	8,355.5	83

**Note:** This table presents information on projects which have been approved by the LDCF Council or have advanced beyond this stage in the project cycle. Individual cell values have been rounded.

a. The formulation of NAPAs are funded through enabling activities, while NAPA implementation projects and support of NAPs are funded through medium- and full-size projects.

b. Financial implications of dropped projects have not been taken into account. LDCF financing numbers include project preparation grants as well as Agency fees.

either under implementation or awaiting implementation start), no MTF projects with LDCF funding were submitted during the GEF-6 period. However, the number of MTF project proposals has increased during the GEF-7 period, following the roll-out of the new LDCF/SCCF strategy and GEF programming directions in July 2018, and in line with the GEF-7 ambition to better mainstream adaptation and climate resilience in GEF Trust Fund programming (GEF 2019b). Six MTF projects with LDCF funding have been submitted during the GEF-7 period, with one having been CEO Endorsed and another approved by Council. As of June 2019, \$104.46 million in LDCF funding had been allocated to MTF projects or programs (GEF 2019b).

13. An overview of the LDCF portfolio by project status is presented in [table A.2](#). Only projects which have been approved by Council or have advanced beyond this stage in the project cycle are considered as part of the LDCF portfolio. The stage in the project cycle which respective projects have reached will determine the manner in and extent to which they are reviewed in this evaluation. The transition from the GEF Secretariat project management information system (PMIS) to a new data portal has led to data gaps as information on older projects is not yet available in the new portal, but not up to date in the old system. This has been a limitation in presenting accurate information on project status at this stage. The status of projects in the approval process will be updated as

**Table A.2** 2019 LDCF support to NAPAs, NAPA implementation projects, and projects supporting the NAP process, by project status

Project status	NAPAs <sup>a</sup>	NAPA implementation projects <sup>a</sup>	Projects supporting the NAP process <sup>a</sup>	Total
Completed	51	47	1	99
Under implementation		100	1	101
CEO endorsed/approved		63	9	72
Council approved		9		9
Total	51	219	11	281

a. The formulation of NAPAs are funded through enabling activities, while NAPA implementation projects and support of NAPs are funded through medium- and full-size projects.

information becomes available as part of the evaluation process.

14. A significant change since the 2016 LDCF program evaluation, which this evaluation updates, is the maturation of the LDCF portfolio of projects, particularly in regard to the number of completed projects which can provide information on results, sustainability, and lessons learned. [Figure A.1](#) compares the LDCF portfolio of NAPA implementation projects and projects supporting the NAP process by project status as of October 2015, the cutoff for consideration in the 2016 LDCF program evaluation, and as of September 2019, the cutoff for this evaluation. Thirty-four NAPA implementation projects, and one project supporting the NAP Process, have reached completion since October 2015, for a total of 47 completed NAPA implementation projects, and one completed project supporting the NAP process.<sup>6</sup> While the portfolio of NAPA implementation projects and projects supporting the NAP process has matured since the previous evaluation, the portfolio of LDCF enabling activity projects supporting the development of NAPAs has not changed much, with only one new NAPA completed, for the South Sudan (GEF ID 5564), and submitted to UNFCCC in 2017.<sup>7</sup>

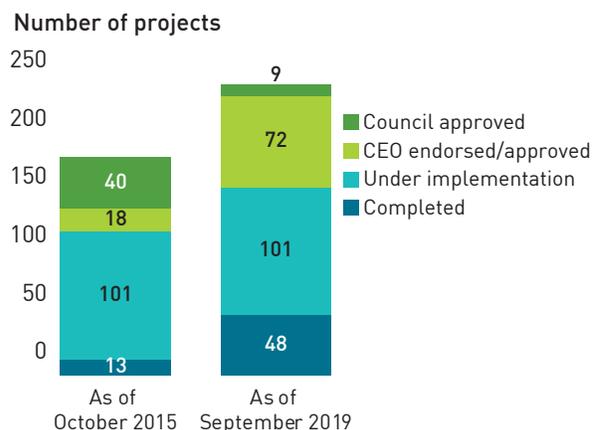
## PREVIOUS EVALUATIONS OF THE LDCF

15. The most recent evaluation of the LDCF was carried out by GEF IEO and presented to the 20th LDCF/SCCF Council meeting in June 2016. The Evaluation found LDCF supported activities to be highly relevant to COP guidance and countries' development priorities, and to show clear potential

<sup>6</sup> Two completed projects, GEF IDs 2190 and 2040, were completed at the time of the 2016 evaluation but not included in the review of completed projects, as no terminal evaluation was conducted for either project.

<sup>7</sup> Source: UNFCCC [Submitted NAPAs](#) webpage, accessed November 12, 2019.

**Figure A.1** LDCF portfolio by project status, as of October 2015 and September 2019



Source: GEF PMIS and GEF Portal through September 2019.

in reaching the GEF's three adaptation strategic objectives, as well as having co-benefits beyond the climate change focal area. Furthermore, it found improvement in gender performance of the LDCF portfolio following the introduction of enhanced requirements for GEF, though the share of projects which were gender mainstreamed was still low at 14 percent. Finally, it found that the unpredictability of resources based on the lack of a formal resource mobilization process had a negative impact on efficiency. The evaluation reached three recommendations: the GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the Fund; the GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF gender mainstreaming policy and the Gender Equality Action Plan to the LDCF; and, the GEF Secretariat should ensure that PMIS data is up to date and accurate.

16. As part of the Sixth Comprehensive Evaluation of the GEF (OPS6) a Climate Change Focal Area Study was completed and published in 2017, which included discussion of the LDCF portfolio, drawing evidence mainly from the 2016 evaluation. Evaluative evidence on adaptation to climate change and

LDCF was also synthesized in OPS6 from evaluations and special studies of the GEF Trust Fund that included LDCF and SCCF projects.

17. The Fifth Overall Performance Study (OPS5) published in 2014, covered adaptation to climate change in its review of the GEF work on focal area strategies, results-based management and tracking tools, multifocal area and multitrust fund (MTF) projects as well as gender mainstreaming. The study included preliminary findings of a quality-at-entry review of a sample of projects approved to implement NAPAs to assess the extent to which they respond to key issues identified by NAPAs and project design quality (GEF IEO 2013a). The IEO conducted further quality-at-entry reviews of approved NAPA implementation projects published in 2014 (GEF IEO 2014). This review concluded that (1) a large majority of NAPA implementation projects were aligned with their respective NAPA, (2) agriculture was the key adaptation priority area in NAPAs, (3) all projects were consistent with LDCF strategies, eligibility criteria, and priorities, (4) a high percentage of NAPA projects were mainstreaming gender into adaptation initiatives, and (5) a large majority of projects included wide stakeholder involvement and had risk assessment and mitigation strategies in place.

18. The 2012 GEF Evaluation of Focal Area Strategies aimed to gain a deeper understanding of the elements and mechanisms that make a focal area strategy successful (GEF IEO 2013b). The evaluation concluded that, in most cases, the GEF-5 focal areas did not draw on a systematic identification of the envisaged causal relationships between various elements of the relevant strategy, which is an impediment to achieving catalytic results. Technical Paper 7 of this evaluation (GEF IEO 2012a) focused on climate change adaptation under the LDCF and SCCF. The paper affirmed that the LDCF/SCCF strategy on adaptation largely reflects the current state of scientific knowledge and is sound from a scientific perspective on the basis of

UNFCCC COP guidance. Technical Paper 8 provides an overview of COP guidance to the GEF. It found that the GEF was generally responsive to UNFCCC guidance (GEF IEO 2012b).

19. The 2011 evaluation of the GEF Strategic Priority for Adaptation (SPA) pilot program aimed to provide lessons and experiences from implementation of the first climate change adaptation strategy supported by the GEF (GEF IEO 2011). One of the evaluation's recommendations stated that the GEF should continue to provide explicit incentives to mainstream resilience and adaptation to climate change into the GEF focal areas, as a means of reducing risks to the GEF portfolio.

20. Two evaluations covering work with LDCF resources were published in 2009, one by the UNDP Evaluation Office, and the other jointly by the independent evaluation entities of Danida and the GEF (UNDP EO 2009; Danida and GEF EO 2009). These earlier evaluations were conducted in the first phase of the LDCF and were thus more focused on NAPA development. A 2010 Danida follow up review of actions taken in response to the 2009 Danida and GEF joint evaluation found that efforts had been made or were underway to respond to most of the recommendations addressed to the LDCF/SCCF Council and the GEF Secretariat. Nevertheless, the report found that some issues need further attention including delineating cooperation between the LDCF and other adaptation funds, and uncertainty about the future financial regime for adaptation (Danida 2010).

## A.3 Purpose, objectives, and audience

### PURPOSE AND OBJECTIVE

21. The overall purpose of the evaluation is to provide the LDCF/SCCF Council with evaluative

evidence of the Fund's relevance, emerging results and their sustainability.

22. The main objective of this evaluation of the LDCF is to evaluate the progress made by the LDCF since the 2016 LDCF program evaluation and the extent to which the LDCF is achieving the objectives set out in the GEF Programming Strategy on Adaptation to Climate Change for LDCF/SCCF (2018–2022). The evaluation aims to provide recommendations on the way forward for the LDCF.

## STAKEHOLDERS AND AUDIENCE

23. The primary stakeholders are GEF Secretariat staff, staff of GEF Agencies and LDCF/SCCF Council members. Secondary stakeholders are staff of the STAP, staff from Governments, country-level project implementers and other GEF stakeholders and beneficiaries.

24. The evaluation's target audience is LDCF/SCCF Council members, other LDCF/SCCF and GEF stakeholders, as well as the general public and professionals interested in climate change adaptation, national adaptation processes and development.

## A.4 Evaluation questions and coverage

### COVERAGE AND SCOPE

25. This evaluation will cover the time frame from the start of the LDCF, November 2001, through September 2019. The focus will be on the developments since October 2015, which was the cutoff date for the 2016 Evaluation of the LDCF. The evaluation will focus on relevance, effectiveness, efficiency, sustainability of outcomes and additionality of the LDCF.

26. Special attention will be given to sustainability. The sustainability of GEF projects, or “the

continuation/likely continuation of positive effects from the intervention after it has come to an end” (GEF IEO 2019b) is measured at completion through a rating which assesses risks to continuation of benefits from factors including environmental, financial, sociopolitical or institutional factors in the country. The GEF IEO has introduced a methodological approach for Post-Completion Verification (GEF IEO 2019d). This evaluation will review the sustainability ratings of LDCF projects at completion and include post completion assessments of two projects using this approach. Post completion travel will be combined with travel for other evaluation activities.

27. The evaluation will also give special attention to gender considerations, resilience and engagement of the private sector. The 2016 program evaluation of the LDCF concluded that the gender performance of the LDCF portfolio has improved considerably in response to enhanced requirements from the GEF, though from a low baseline, and with some confusion as to what it means to be “gender mainstreamed.” In November 2017 the GEF adopted a new Policy on Gender Equity (GEF 2017a) and a gender implementation strategy (GEF 2018a) in June 2018. The GEF Programming Strategy on Adaptation states that “the proposed results framework includes relevant disaggregated indicators for men and women so that impacts and outcomes, and their gender relevance, can be tracked and analyzed” (GEF 2018c). The focus of the evaluation will be on evidence of the operationalization of the new Gender Policy in the LDCF. The results framework on gender equality and women's empowerment is provided in [annex H](#).

28. Regarding resilience, the GEF Programming Strategy on Adaptation states that “In line with the IPCC-defined scope of climate finance for resilience, the LDCF and SCCF seek to enhance resilience to the impacts of climate variability and the projected climate change” (IPCC 2018; GEF 2018c). The latest results framework of the GEF

Adaptation Program states the overarching goal as “To increase resilience and reduce vulnerability to the adverse impact of climate change in developing countries, and support their efforts to enhance adaptive capacity” (GEF 2018c). The three objectives of the results framework feed into this goal. The STAP Advisory Document “Enhancing Resilience to Reduce Climate Risks” (GEF STAP 2010) explicitly mentions the various temporal perspectives (current variability, observed medium- and long-term trends in climate, and planning in response to model-based scenarios of anticipated long-term climate change) and broad-based categories of interventions (knowledge-based, capacity-based and ecosystem-based) that—if combined well—can bolster the synergies and perspectives needed for adaptation responses in support of longer-term resilient development. Given the NAPAs’ emphasis on “urgent and immediate needs to adapt to climate change,” the programmatic focus is expected to be on adaptation interventions that capture this immediacy.

29. Guidance from COP 23 encouraged the GEF to further enhance engagement with the private sector.<sup>8</sup> As a vital part of the adaptation programming strategy, private sector engagement will be implemented through two pillars: (1) expanding catalytic grant and non-grant investments, and (2) support enabling environments for the private sector to act as an agent for market transformation. The pillars are aligned with the approach to private sector engagement articulated in the GEF-7 Programming Directions (GEF Secretariat 2018). The LDCF aims to support local private actors and micro, small, and medium enterprises in their efforts to contribute to adaptation ambitions. To help address priorities identified by LDCs in NAPAs and NAPs, private sector-relevant themes, such as

value chains, market development, risk transfer and sharing mechanisms, insurance/re-insurance and eco-tourism, are relevant. The LDCF may also support incentives and policy measures to encourage private sector engagement, including fiscal and financial tools and instruments for climate risk transfer and management. Additionally, the GEF and GCF may collaborate to identify pathways and opportunities to facilitate pilot private sector-oriented initiatives supported by the LDCF (and SCCF) to be scaled up with the GCF.

## KEY EVALUATION QUESTIONS

30. The overarching goal and strategic objectives, an integral part of the GEF programming strategy on adaptation, translate into the evaluation questions below grouped by the core evaluation criteria ([table A.3](#)).

## ASSESSING PERFORMANCE

31. The Fund’s performance will be assessed at the Fund’s macro level as well as the project level. The former will be in terms of the degree to which the LDCF has operated according to the strategic objectives set, informed by the UNFCCC COP guidance and decisions received, to analyze the broader progress to impact. This also translates, among others, into evaluating the Fund’s performance regarding the mainstreaming of adaptation into broader developmental policies, plans and programs, and assessing how NAPAs relate to other GEF focal areas beyond climate change adaptation. The latter will focus on performance related to the achievement of emerging project results against stated goals. The core evaluation criteria (relevance, effectiveness, efficiency, sustainability and additionality) will be applied as outlined in the previous paragraph.

<sup>8</sup> See [annex F](#), FCCC/CP/2017/11/Add.1/Decision 10/CP.23, par.11.

**Table A.3 Key evaluation questions by core evaluation criteria**

Criterion	Question/discussion
<p><b>1. Relevance</b></p>	<p><b>Does LDCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs?</b> The 2016 LDCF program evaluation found LDCF-supported activities for the most part highly relevant to COP guidance and countries development priorities and that they show clear potential in reaching the GEF's three adaptation strategic objectives. The evaluation will assess the relevance of newly approved LDCF projects in responding to the GEF adaptation programming strategy, and country priorities. (See <a href="#">annex F</a> for UNFCCC COP guidance and decisions, and <a href="#">box A.1</a> for GEF strategic objectives and pillars.) It will also assess LDCF responsiveness to the LDC work program and to guidance from UNFCCC COP, including the request to continue to enhance capacity development and continue to enhance long-term domestic institutional capacities, which drew from the 2016 LDCF program evaluation.</p>
<p><b>2. Effectiveness</b></p>	<p><b>How effective is the LDCF at delivering on expected outcomes?</b> The evaluation will take advantage of the growing body of evidence from completed projects to assess the extent to which they have delivered on expected outcomes, and challenges within each type of outcome.</p> <p><b>What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the LDCF?</b> The 2016 LDCF program evaluation found that there was confusion as to what it means to be "gender mainstreamed" and recommended the GEF Secretariat to improve consistency of the application the gender policy. The evaluation will assess the application of GEF's gender policies during the past four years.</p> <p><b>To what extent has the LDCF engaged the private sector?</b> The evaluation will assess newly approved and completed projects in line with the 2018-2022 GEF adaptation strategy regarding private sector engagement.</p> <p><b>What are lessons learned from implementation experience?</b> The evaluation will synthesize lessons learned from the portfolio of completed projects.</p>
<p><b>3. Efficiency</b></p>	<p><b>How have resource flows and resource predictability, or lack thereof, affected the fund's programming?</b> The 2016 LDCF program evaluation found that unpredictability in the LDCF replenishment process slowed the project preparation process. The evaluation will assess how the lack of a regular replenishment process and unpredictability of funding effects LDCF programming. In addition to stakeholder interviews and portfolio analysis, materialized pledges of voluntary contributions and the alignment with funding decisions will be compared since the 2016 evaluation.</p> <p><b>How efficient is the fund's project cycle as a delivery mechanism?</b> The evaluation will perform project cycle analysis to compare the project preparation process for LDCF projects to projects funded by other trust funds.</p>
<p><b>4. Sustainability</b></p>	<p><b>To what extent have the outcomes achieved in LDCF projects been sustainable postcompletion?</b> The evaluation will review the sustainability ratings of LDCF projects at completion and include assessments of the factors that affect sustainability of outcomes of two projects post completion.</p>
<p><b>5. Additionality</b></p>	<p><b>What has been the additionality, both environmental and otherwise, of the LDCF?</b> GEF additionality is defined as the additional outcome (both environmental and otherwise) that can be directly associated with the GEF-supported project or program (GEF IEO 2019b).<sup>a</sup> The evaluation will assess LDCF's additionality in six areas: environmental, legal/regulatory, institutional, financial, socioeconomic and innovation outcomes of the LDCF.</p>

a. GEF IEO (2020a) includes a more detailed discussion of definitions of additionality across Agencies, as well as of the definition adopted by the GEF IEO, which is: (1) changes in the attainment of direct project outcomes at project completion that can be attributed to GEF interventions; these can be reflected in an acceleration of the adoption of reforms, the enhancement of outcomes, or the reduction of risks and greater viability of project interventions, (2) spillover effects beyond project outcomes that may result from systemic reforms, capacity development, and socioeconomic changes; (3) clearly articulated pathways to achieve broadening of the impact beyond project completion that can be associated with GEF interventions.

## A.5 Evaluation design

### METHODOLOGY

32. The evaluation's methodological approach is expected to include the following main elements:

- **Document review:** Review of documentation will include GEF specific documents on the LDCF and related interventions, as well as additional literature beyond GEF and LDCF/SCCF Council and project documents, and GEF Secretariat policies, processes and related documents. Document review will also include non-GEF IEO evaluation materials, academic and gray literature on the Fund, and NAPA and NAP developments.
- **Portfolio review:**
  - Review of prepared NAPAs. In 2017, South Sudan submitted its NAPA to UNFCCC (GEF 2019b). This is the only NAPA completed in the time since the 2016 evaluation. This NAPA will be reviewed as part of the evaluation.
  - Quality-at-Entry Review. Projects which have been approved by Council and/or CEO Endorsed/Approved since October 2015, (58) will be reviewed for quality-at-entry. A protocol will be developed, building on the protocol used in the 2016 evaluation, to assess relevance to UNFCCC guidance and decisions, the GEF adaptation programming strategy, and countries broader development policies, plans and programs.
  - Review of Completed Projects. Projects which have reached completion since October 2015, (35) will be subject to a desk review for results and newly available project documents, (project implementation reports (PIRs), midterm reviews (MTRs), terminal evaluations (TEs), and terminal evaluation reviews (TERs), etc.) will be analyzed. The data gathered from the project reviews will be aggregated at the portfolio level and used to evaluate the LDCF implementation projects as a whole. A protocol will be developed, building on the protocol used in the 2016 evaluation, to assess the projects in a systematic manner and ensure that project level key questions are addressed coherently.
- **Meta-assessment review:** Since the 2016 LDCF program evaluation the GEF IEO and other agencies have conducted evaluations that have reviewed the LDCF, the NAPA and NAP process as well as NAPA implementation and projects supporting the NAP process. The evaluation team will conduct a meta-assessment review to synthesize lessons, findings and experiences from such assessments of the LDCF and related activities.
- **Interviews:** Interviews regarding the results, operations and management of the LDCF will be conducted with select stakeholders from: the GEF as the LDCF administrator, GEF Agencies, relevant government and non-governmental actors in selected LDCs, the LDC Expert Group, and the UNFCCC secretariat
- **Field visits:** Field visits will focus on gathering evidence of sustainability of project results post completion. The number of LDCF projects visits will as such depend on the mutually beneficial synergies explored between evaluation endeavors. In the absence of such synergies a minimum of two field visits will be conducted.
- **Triangulation:** The evaluation team will conduct an analysis of, and triangulate data collected to determine trends, formulate main findings, lessons and conclusions. Different stakeholders will be consulted during the process to test preliminary findings. Also see A.6: Quality assurance.

## DESIGN LIMITATIONS

33. The evaluation will be subject to limitations due to the maturity of the LDCF portfolio. In the past four years, 35 projects have reached completion for a total of 48 completed projects, which still represent a small share of the LDCF portfolio. The analysis will focus on highlighting illustrative examples from projects for which sufficient information and lessons have been articulated.

34. Another limitation is that due to time and budget constraints only a small number of projects will be visited, which limits the amount of information that can be collected from stakeholders directly involved in projects in the field. This limitation will be mitigated by combining project visits with other ongoing evaluations or evaluation work.

35. The evaluation is also expecting to face problems obtaining accurate information on LDCF projects due to the unreliability of the GEF PMIS data, especially on project status and in light of the transition to the new GEF Portal. PMIS/Portal data will be compared with LDCF/SCCF Council progress reports for the LDCF and GEF Agencies will be requested to verify project data before projects are reviewed.

## A.6 Quality assurance

36. In line with IEO's quality assurance practice, quality assurance measures have been set up for this evaluation. The draft approach paper and draft evaluation report will be circulated and validated before finalization through a comprehensive stakeholder feedback process with the key stakeholders. In the case of the draft evaluation report this will take place prior to the June Council in 2020. Key stakeholders include the GEF Secretariat, GEF Agencies, STAP, and select GEF focal points. Comments, feedback and suggestions will be considered, and the approach paper and final report will be adjusted accordingly. Additionally, the

draft approach paper has been internally reviewed in the GEF IEO, and an internal and external peer reviewer with experience in adaptation to climate change evaluation has been selected to provide advice throughout the evaluation process. The internal and external peer reviewer will advise on the evaluation methods described in the approach paper, findings and recommendations of the evaluation, and the draft and final evaluation report.

## A.7 Deliverables and dissemination

37. The main findings, conclusions, and recommendations will be included in the IEO LDCF/SCCF Annual Evaluation Report that will be presented to the LDCF/SCCF Council at the June 2020 meeting. The full report will be submitted as a Council information document. It will be distributed to LDCF/SCCF Council members, GEF Secretariat, GEF Agencies, STAP and relevant GEF country focal points. A graphically edited version will be published on the IEO's website and will also be made available to interested parties through email. A four-page summary of the report will be produced and posted on the website. The above-mentioned outputs will be distributed through existing IEO mailing lists as well as to stakeholders involved in the conduct of the evaluation. The main findings, conclusions, and recommendations will be included in the Report of the GEF to the Conference of Parties to the UNFCCC. To reach a wider audience the evaluation will also be presented through webinars and at relevant evaluation conferences and workshops such as Adaptation Futures.

## A.8 Resources

### TIMELINE

38. The update of the LDCF program evaluation will take place between October 2019 and June 2020. The initial work plan is shown in [table A.4](#) and

**Table A.4 Work plan**

Task	Responsible	Oct 2019	Nov 2019	Dec 2019	Jan 2020	Feb 2020	Mar 2020	Apr 2020	May 2020	June 2020
<b>I. Evaluation design</b>										
Draft Approach Paper										
Feedback Process										
Approach Paper										
TORs										
Protocol Development										
<b>II. Evaluation context</b>										
Literature Review										
Meta-Evaluation Review										
Evaluation Matrix										
<b>III. Data collection</b>										
Interviews										
Project Desk Review										
Field Visits										
<b>IV. Analysis</b>										
Data Analysis										
Draft Report										
Feedback Process										
<b>V. Outreach</b>										
Final Document to Council										
Presentation to Council										
Final Graphically Edited Version of Report										
Webinar										
Report Summary										
Blog-post										

will be further revised and detailed as part of the further preparation.

### **BUDGET (INTERNAL)**

39. The LDCF evaluation update is budgeted at \$55,000. A further breakdown of cost elements has been provided for the IEO.

### **TEAM AND SKILLS MIX**

40. The evaluation will be led by a task manager from the GEF IEO with oversight from the Chief Evaluation Officer and Director of the IEO.

The manager will lead a team comprised of GEF IEO Evaluation Analyst and consultants. A short-term consultant will be selected to help with desk reviews and portfolio analysis. A mid-level short-term consultant with technical and policy expertise in adaptation to climate change and evaluation as well as knowledge of the key priority areas as indicated in the NAPAs will be hired to provide guidance and specific inputs at major milestones of the evaluation.

# Appendix A: Conclusions and recommendations of the Program Evaluation of the Least Developed Countries Fund (LDCF) 2016

## CONCLUSIONS

In its evaluation of the LDCF, the GEF Independent Evaluation Office reached the following eight conclusions:

**Conclusion 1: LDCF-supported activities, for the most part, have been highly relevant to COP guidance and countries' development priorities.** There is a generally high degree of coherence between the scope of LDCF-funded activities and both the guidance and priorities of the UNFCCC and the GEF, and the development priorities of countries receiving LDCF support.

**Conclusion 2: LDCF-supported interventions show clear potential in reaching the GEF's three adaptation strategic objectives.** Eighty-eight percent of NAPA country reports, and 90 percent of implementation projects were, from a large to an extremely large extent, aligned with the GEF adaptation strategic objectives. The quality at entry review showed that 98 percent of NAPA implementation projects had a high to very high probability of delivering tangible adaptation benefits. Also, the majority of stakeholders interviewed indicated it was very likely that the NAPA implementation projects they were familiar with, or involved in, would reach the GEF's strategic adaptation objectives.

**Conclusion 3: Contributions of LDCF-supported interventions to focal areas other than climate change are potentially significant.** It is not within the Fund's mandate to explicitly target focal areas beyond climate change, but given the primary priority areas for LDCF support—agriculture, water resource management, and fragile

ecosystems—there is clear potential for beneficial synergies with the biodiversity and land degradation focal areas in particular. The Fund's support also has the potential to contribute, to some extent, to GEF's global environmental benefits, most notably in maintaining globally significant biodiversity and sustainable land management in production systems.

**Conclusion 4: The efficiency of the LDCF has been negatively affected by the unpredictability of available resources.** Despite employing measures to expedite the project cycle, the LDCF's efficiency has experienced negative effects from the unpredictable nature of available resources. There is no formal resource mobilization process, and the Fund has to rely on voluntary contributions. Unpredictable funding creates uncertainty for GEF Agencies and LDCs reliant on LDCF support for the implementation of their primary climate change adaptation priorities. It also negatively influences stakeholders' perceptions of the Fund's transparency and, overall, affects LDCF efficiency.

**Conclusion 5: LDCF support to NAPA implementation projects has resulted in catalytic effects in completed projects, though extensive replication and upscaling generally 42 demands further financing beyond the projects' time frame.** Completed NAPA implementation projects developed or introduced new technologies and/or approaches which were successfully demonstrated and disseminated, and resulted in activities, demonstrations, and/or techniques being repeated within and outside of these projects. Additional catalytic effects, as identified by project stakeholders, were (1) in the generation of significant social, economic, cultural, and human well-being co-benefits as a result of NAPA project implementation; (2) the projects having impacts on multiple sectors and at different levels of society; and (3) the projects resulting in the development of foundations for larger-scale projects through analytic work, assessments, and capacity building. Only 15

percent of completed projects performed well on upscaling. For the majority of projects that received low performance ratings for scaling up, additional financing will be required to ensure scaling up. The technical and institutional capacity-building and information-sharing activities had good buy-in from national and local-level officials, but projects highlight further financing beyond the project's time frame as the primary requirement for scaling up.

**Conclusion 6: There is a clear intent to mainstream adaptation into countries' environmental and sustainable development policies, plans, and associated processes.** The portfolio analysis found that almost three-quarters of NAPA country reports clearly detailed the ways in which NAPA priorities would be linked with existing national policies, plans, and strategies.

**Conclusion 7: The gender performance of the LDCF portfolio has improved considerably in response to enhanced requirements from the GEF, though there seems to be confusion as to what it means to be "gender mainstreamed."** Almost 50 percent of projects under GEF-4 lacked a gender mainstreaming strategy or plan, which went down to 8.7 percent under GEF-6. Over 90 percent of NAPA implementation projects financed under GEF-6 address gender concerns to some degree. However, this evaluation rated only 17.4 percent of these projects as gender mainstreamed; more projects need to move from the "gender aware" and "gender sensitive" categories to the "gender mainstreamed" rating. The Gender Equality Action Plan clearly explains what it means for a project to be gender mainstreamed. Some other Council documents, specifically the Annual Monitoring Review, show a different interpretation regarding gender mainstreaming.

**Conclusion 8: There are significant discrepancies in project data from the GEF Secretariat's PMIS.** A quality assessment of PMIS information was not a

specific objective of this evaluation, but project data harvesting from the PMIS revealed 58 broken links to project documentation for 46 projects. Moreover, cross-checking the available project data with GEF Agencies revealed further discrepancies in PMIS data.

## RECOMMENDATIONS

In its evaluation of the LDCF, the GEF Independent Evaluation Office reached the following three recommendations:

**Recommendation 1.** The GEF Secretariat should explore and develop mechanisms that ensure the predictable, adequate, and sustainable financing of the Fund.

**Recommendation 2.** The GEF Secretariat should make efforts to improve consistency regarding its understanding and application of the GEF gender mainstreaming policy and the Gender Equality Action Plan to the LDCF.

**Recommendation 3.** The GEF Secretariat should ensure that PMIS data is up to date and accurate.

# Evaluation matrix

Key question	Indicators/measures	Source of information	Methodology
<b>Relevance: Does LDCF support continue to be relevant to UNFCCC COP guidance and decisions, the GEF adaptation programming strategy, and countries' broader development policies, plans and programs?</b>			
<b>1a.</b> How relevant has LDCF support been to UNFCCC COP guidance and decisions, including the Paris Agreement?	<ul style="list-style-type: none"> <li>• Extent of alignment between LDCF-related guidance/decisions and COP guidance/decisions</li> <li>• Extent of alignment between LDCF projects and COP guidance/decisions</li> </ul>	GEF/LDCF guidance (including council decisions), COP guidance (including Paris Agreement), project documentation, GEF Secretariat staff, GEF IEO and external evaluations	Portfolio analysis, interviews, country visits, literature review, meta-evaluation review
<b>1b.</b> How relevant has LDCF support been to the GEF's adaptation programming strategy?	Extent of alignment between LDCF projects and GEF adaptation programming strategy, including the three strategic objectives and two strategic pillars	GEF and LDCF guidance (including council decisions), GEF adaptation strategy, project documentation, GEF Secretariat staff, GEF IEO and external evaluations	Portfolio analysis, interviews, country visits, meta-evaluation review, literature review
<b>1c.</b> How relevant has LDCF support been to country-level environmental and sustainable development policies, plans, and programs?	Extent of alignment between LDCF projects and national policies, plans, and programs, including NAPAs and NDCs	Country stakeholders (government, GEF Agencies, project partners), NAPAs, NDCs, project documentation, GEF IEO and external evaluations	Portfolio analysis (alignment between implementation projects and NAPA), interviews, country visits, literature review, meta-evaluation review
<b>1d.</b> To what extent have LDCF project outcomes been sustainable postcompletion?	Type and extent of LDCF project contributions to domestic institutional capacity development	Country stakeholders (government, including GEF focal points, GEF Agencies, project partners), project documentation, GEF IEO and external evaluations	Portfolio analysis, interviews, country visits, meta-evaluation review, literature review

Key question	Indicators/measures	Source of information	Methodology
<b>Effectiveness: How effective has the LDCF been at delivering on expected outcomes?</b>			
<b>2a.</b> How effective has the LDCF been in supporting the GEF's strategic adaptation objectives?	<ul style="list-style-type: none"> <li>• Outcome ratings of LDCF projects</li> <li>• Type and extent of LDCF project contributions to GEF strategic objectives</li> <li>• Type and extent of LDCF project contributions to GEF strategic pillars</li> </ul>	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review
<b>2b.</b> What are the gender equality objectives achieved and gender mainstreaming principles adhered to by the LDCF?	<ul style="list-style-type: none"> <li>• Gender ratings of LDCF projects</li> <li>• Type and extent of gender analyses, actions, and results delivered through LDCF projects</li> </ul>	GEF and LDCF guidance (including council decisions), project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review
<b>2c.</b> To what extent has the LDCF engaged the private sector?	<ul style="list-style-type: none"> <li>• Type and extent of private sector engagement with LDCF projects</li> <li>• Level of private sector cofinancing in LDCF projects</li> </ul>	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review
<b>2d.</b> What are lessons learned from implementation experience?	Compilation of type and substance of lessons learned through LDCF projects	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review
<b>Efficiency: How efficient has LDCF support been?</b>			
<b>3a.</b> How have resource flows and resource predictability, or lack thereof, affected the funds' programming?	<ul style="list-style-type: none"> <li>• Funding profile (funding types, sources, volumes) of LDCF projects and overall LDCF portfolio</li> <li>• Availability of resources for LDCF pipeline</li> <li>• Comparison of time elapsed between project cycle milestones for LDCF projects with similar funds such as GEF, SCCF, AF</li> <li>• Type and length of project delays</li> </ul>	Project documentation, GEF Agency staff, GEF Secretariat staff, country stakeholders	Interviews, country visits, meta-evaluation review, project cycle analysis

Key question	Indicators/measures	Source of information	Methodology
<b>3b.</b> How efficient is the fund's project cycle as a delivery mechanism?	<ul style="list-style-type: none"> <li>• Efficiency ratings of LDCF projects</li> <li>• Expected and actual cofinancing ratios for LDCF projects, performance</li> <li>• Time between project cycle milestones</li> <li>• Type and length of project delays</li> </ul>	Project documentation, GEF Agency staff, GEF Secretariat staff, country stakeholders	Portfolio analysis, interviews, country visits
<b>Sustainability: To what extent have the outcomes achieved in LDCF projects been sustainable post-completion?</b>			
<b>4a.</b> What are the main factors affecting the sustainability of LDCF-supported outcomes?	Sustainability ratings of LDCF projects	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review
<b>Additionality: What has been the additionality, both environmental and otherwise, of the LDCF?</b>			
<b>5a.</b> What is the value added of LDCF?	<ul style="list-style-type: none"> <li>• Type of interventions covered in the LDCF Portfolio of NAPA Implementation Projects</li> <li>• Type and extent of LDCF project contributions to GEF focal areas</li> <li>• Type and extent of catalytic effects delivered through LDCF projects</li> <li>• Type and extent of global environmental benefits delivered through LDCF projects</li> </ul>	Project documentation, external evaluations, country stakeholders (government, GEF Agencies, project partners, beneficiaries), GEF Secretariat staff	Portfolio analysis, interviews, country visits, meta-evaluation review

# LDCF projects reviewed

GEF ID	Project title	GEF Agency	Region	Country	GEF period
<b>Completed projects</b>					
3287	Community-based adaptation to climate change through coastal afforestation	UNDP	Asia	Bangladesh	GEF-4
3302	Climate Adaptation for Rural Livelihoods and Agriculture (CARLA)	AfDB	Africa	Malawi	GEF-4
3408	Implementing NAPA priority interventions to build resilience in the most vulnerable coastal zones in Djibouti	UNEP	Africa	Djibouti	GEF-4
3694	Increasing resilience of coastal areas and community settlements to climate change	UNDP	Asia	Tuvalu	GEF-4
3703	Increased resilience and adaptation to adverse impacts of climate change in Guinea's vulnerable coastal zones	UNDP	Africa	Guinea	GEF-4
3704	Integrated adaptation program to combat the effects of climate change on agricultural production and food security	UNDP	Africa	Benin	GEF-4
3716	Integrating adaptation to climate change into agricultural production and food security in Sierra Leone	IFAD	Africa	Sierra Leone	GEF-4
3733	Strengthening adaptive capacities to address climate change threats on sustainable development strategies for coastal communities in Haiti	UNDP	LAC	Haiti	GEF-4
3776	Enhancing adaptive capacity and resilience to climate change in the agriculture sector in Mali	UNDP	Africa	Mali	GEF-4
3841	Improving early warning system to reduce impact of climate change and build capacity to integrate climate change into development plans	UNEP	Africa	Lesotho	GEF-4
3847	Integrating climate change risks into resilient island planning	UNDP	Asia	Maldives	GEF-4
3857	Adapting water resource management in Comoros to increase capacity to cope with climate change	UNDP	Africa	Comoros	GEF-4
3890	Vulnerability assessment and adaptation program for climate change in the coastal zone of Cambodia considering livelihood improvement and ecosystems	UNEP	Asia	Cambodia	GEF-4

GEF ID	Project title	GEF Agency	Region	Country	GEF period
3979	Integrating climate resilience into agricultural production for food security in rural areas	FAO	Africa	Mali	GEF-4
4018	São Tome and Príncipe adaptation to climate change	WB	Africa	São Tome and Príncipe	GEF-4
4034	Improving the resilience of the agriculture sector in Lao PDR to climate change impacts	UNDP	Asia	Lao PDR	GEF-4
4068	Increasing resilience to climate variability and hazards	WB	Asia	Kiribati	GEF-4
4216	Integration of climate change risk and resilience into forestry management (ICCRIFS)	UNDP	Asia	Samoa	GEF-4
4222	Promoting autonomous adaptation at the community level in Ethiopia	UNDP	Africa	Ethiopia	GEF-4
4234	Climate change adaptation project in watershed management and water retention	IFAD	Africa	Senegal	GEF-5
4276	Adaptation in the coastal zones of Mozambique	UNDP	Africa	Mozambique	GEF-5
4431	Increasing climate change resilience of Maldives through adaptation in the tourism sector	UNDP	Asia	Maldives	GEF-5
4447	Strengthening climate resilience and reducing disaster risk in agriculture to improve food security in Haiti post-earthquake	FAO	LAC	Haiti	GEF-5
4554	Effective governance for small-scale rural infrastructure and disaster preparedness in a changing climate	UNDP	Asia	Lao PDR	GEF-5
4570	Adapting agriculture production in Togo (ADAPT)	IFAD	Africa	Togo	GEF-5
4585	Enhancing the resilience of tourism-reliant communities to climate change risks	UNDP	Asia	Samoa	GEF-5
4692	Strengthening resilience of farming communities' livelihoods against climate changes in the Guinean prefectures of Gaoual, Koundara, and Mali	UNDP	Africa	Guinea	GEF-5
4696	Strengthening resilience of small-scale rural infrastructure and local government systems to climatic variability and risk	UNDP	Asia	Timor-Leste	GEF-5
4991	Strengthening climate information and early warning systems in Tanzania to support climate-resilient development and adaptation to climate change	UNDP	Africa	Tanzania	GEF-5
4992	Strengthening climate information and early warning systems to support climate resilient development and adaptation to climate change	UNDP	Africa	Ethiopia	GEF-5
4993	Strengthening climate information and early warning systems in Africa to support climate-resilient development and adaptation to climate change	UNDP	Africa	Uganda	GEF-5
4994	Strengthening climate information and early warning systems in Malawi to support climate-resilient development and adaptation to climate change	UNDP	Africa	Malawi	GEF-5
5002	Strengthening climate information and early warning systems in Western and Central Africa for climate-resilient development and adaptation to climate change	UNDP	Africa	Benin	GEF-5
5320	Assisting LDCs with country-driven processes to advance NAPs	UNEP	Global		GEF-5
<b>Approved projects</b>					
9199	Enhancing sustainability and climate resilience of forest and agricultural landscape and community livelihoods	UNDP	Asia	Bhutan	GEF-6
9303	Climate change adaptation in the lowland ecosystems of Ethiopia	UNDP	Africa	Ethiopia	GEF-6

GEF ID	Project title	GEF Agency	Region	Country	GEF period
9318	Climate resilience in the Nakambe Basin	UNDP	Africa	Burkina Faso	GEF-6
9364	São Tomé and Príncipe additional financing for West Africa coastal area resilience investment project	WB	Africa	São Tome and Príncipe	GEF-6
9392	Climate resilient growth and adaptation in Democratic Republic of Congo	UNDP	Africa	Congo, Dem. Rep.	GEF-6
9488	Rural livelihoods' adaptation to climate change in the Horn of Africa - phase II (RLACC II)	AfDB	Africa	Somalia	GEF-5
9501	Rural livelihoods' adaptation to climate change in the Horn of Africa phase II (RLACC II)	AfDB	Africa	Sudan	GEF-5
9512	Climate resilience in the outer islands of Tuvalu	ADB	Asia	Tuvalu	GEF-5
9723	Strengthening the capacity of government and communities in South Sudan to adapt to climate change	UNEP	Africa	South Sudan	GEF-6
9750	Resilient productive landscapes in Haiti	WB	LAC	Haiti	GEF-6
10083	Sustainable natural resources management project, Adaptation Fund	WB	Africa	Sudan	GEF-7
10089	Strengthening rural and urban resilience to climate change and variability by the provision of water supply and sanitation in Chad	AfDB	Africa	Chad	GEF-7
10096	Ecosystems and landscape approach to climate proof the rural settlement program of Rwanda	UNDP	Africa	Rwanda	GEF-7
10100	Scaling up local adaptation and climate-risk informed planning for resilient livelihoods	UNDP	Africa	Mozambique	GEF-7
10103	Climate change adaptation and livelihoods in three arid regions of Mauritania	UNEP	Africa	Mauritania	GEF-7
10105	Strengthening climate information and early warning systems for climate resilient development and adaptation to climate change in Guinea-Bissau	UNDP	Africa	Guinea-Bissau	GEF-7
10165	Strengthening resilience to climate change of coastal communities in Togo	FAO	Africa	Togo	GEF-7
10174	Enhancing adaptive capacity of communities by scaling up best practices and adopting an integrated approach in Ethiopia	UNDP	Africa	Ethiopia	GEF-7
10177	Promoting climate-resilient livelihoods in rice-based communities in the Tonle Sap region	FAO	Asia	Cambodia	GEF-7
10181	IKAN Adapt: strengthening the adaptive capacity, resilience, and biodiversity conservation ability of fisheries and aquaculture-dependent livelihoods in Timor-Leste	FAO	Asia	Timor-Leste	GEF-7
10186	Climate change adaptation in forest and agricultural mosaic landscapes	FAO	Africa	Zambia	GEF-7
10187	Climate-smart agriculture alternatives for upland production systems in Lao PDR	FAO	Asia	Lao PDR	GEF-7
10199	Improving water availability in the Gambia's rural and peri-urban communities for domestic and agricultural use	AfDB	Africa	Gambia	GEF-7
10203	Strengthening the adaptive capacity and resilience of communities in Uganda's watersheds	AfDB	Africa	Uganda	GEF-7
10207	Building climate resilient livelihoods in vulnerable landscapes in Bangladesh (BCRL)	FAO	Asia	Bangladesh	GEF-7

**Note:** LAC = Latin America and the Caribbean; WB = World Bank.

# Interviewees

## D.1 GEF Secretariat

Aoki, Chizuru, GEF Secretariat, Lead Environmental Specialist

Iqbal, Fareeha, GEF Secretariat, Senior Climate Change Specialist

Spensley, Jason Garth, GEF Secretariat, Senior Climate Change Specialist

Kuang-Idba, Katya GEF Secretariat, Climate Change Specialist

Barnwal, Alope, GEF Secretariat, Senior Climate Change Specialist

Shiga, Yuki, GEF Secretariat, Environmental Specialist

## D.2 UNFCCC

Desanker, Paul, UNFCCC Secretariat, Manager National Adaptation Plans and Policy Subprogram, Adaptation Program

Maletjane, Motsomi, UNFCCC Secretariat, Team Leader, LDC Unit

Mohamed, Hana Hamadalla, UNFCCC Secretariat Least Developed Countries Expert Group (LEG), Current LEG Chair

Wangdi, Sonam UNFCCC Least Developed Countries (LDC) Chair, Bhutan National Environment Commission, Secretary

Dorji, Tshewang, Bhutan National Environment Commission, Deputy Chief Environment Officer

Zam, Kinley, Bhutan National Environment Commission, Project Support Officer

## D.3 STAP

Carr, Edward, STAP Panel, Adviser on Climate Change Adaptation

Duron, Guadalupe, STAP, Temporary Secretariat Lead for Climate Change Adaptation

## D.4 GEF Agencies

Dunn, Bruce, Asian Development Bank (ADB), Senior Environmental Specialist

Narciso, Rosario Catalina (Nina), ADB, ADB/GEF Portfolio Management Officer

Abraham, Arunkumar, ADB, Senior Environment Specialist

Fay, David, ADB, Transport Specialist

Blaik, Stephen, ADB, Water Supply and Sanitation Specialist

Ribeiro, Tiago, ADB, Urban Development Specialist

Tawisook, Witton, ADB, Transport Specialist

Aden, Ayanleh Daher, AfDB, Senior Environment & Climate Finance Officer, Coordinator, Global Environment Facility (GEF) & Adaptation Fund (AF) Unit

Ndiaye, Guirane, AfDB, Economist Environment & Climate Finance Division

Nyagwambo, Nyasha Lawrence, AfDB, Environment & Climate Finance Division

Miguel Morales, Vice President, Conservation International, Conservation International-GEF/Green Climate Fund Agencies

Samaroo, Orissa, Conservation International GEF Agency, Senior Director, GEF Policy & Project Management

Griffin, Jeffrey, FAO, Senior Coordinator, GEF Coordination Unit

Wieben, Emilie, FAO, Climate Change Specialist, GEF Coordination Unit

Karki, Sameer, FAO, Technical Officer, GEF Coordination Unit

Gordes, Alashiya, IFAD, Technical Specialist, Environment Climate, Gender and Social Inclusion Division

Trembley, Nicolas, IFAD, Regional Climate and Environmental Specialist, Near East, North Africa and Europe

Sene, Pathé, IFAD, Regional Climate and Environmental Specialist, West and Central Africa

Colmant, Renaud, IFAD, Environment and Climate Officer

Chileshe, Paxina, IFAD, Regional Climate and Environmental Specialist, Eastern and Southern Africa

Delahaye, Sébastien, IUCN, Portfolio Manager GEF & Green Climate Fund Coordination Unit

Chachibaia, Ketii, UNDP, Senior Technical Advisor for Climate Change Adaptation

Juergen, Hierold, UNIDO (United Nations Industrial Development Organization), GEF Coordinator and Division Chief, Partnerships Coordination Division

Gordiievska, Olga, UNIDO, Associate GEF Coordination Expert

Kabegé, Juliet, UNIDO, Industrial Development Officer

Mhlanga, Alois, UNIDO, Chief, Climate Technology and Innovations Divisions

Sutton, Dinara Besekei, World Bank, Thematic Specialist on programming side LDCF, SCCF, AF

## D.5 Operational focal points

Gnapelet, Lambert, Central African Republic, Ministry of Environment and Sustainable Development, Meteorological Engineer and Environment Manager

Thein, Hla Maung Myanmar, Environmental Conservation Department, Ministry of Environmental Conservation and Forestry, Director General

Win, San, Myanmar Environmental Conservation Department, Ministry of Environmental Conservation and Forestry, Deputy Director, Climate Change Division

Moise, Jean-Pierre, Haiti, Ministry of Environment

## D.6 GEF–Civil Society Organization Network

Akhteruzzaman, Sano, Chair of the GEF-CSO Network

## D.7 Challenge Program

Ruetz, Charlotte, Switzerland, Nespresso, Coffee Sustainability Project Mana

## D.8 Samoa country interviews

Sorensen, Jorn, UNDP, Resident Representative

Linneweber, Verena, UNDP, Deputy Resident Representative

Kerslake, Yvette, UNDP, Assistant Resident Representative

Faafetai, Ephna, UNDP, Finance Associate

Crawley, Ulu Bismarck, Samoa Ministry of Natural Resources and Environment, Chief Executive Officer, GEF Operational Focal Point

Rasmussen, Anne, Samoa Ministry of Natural Resources and Environment, Assistant Chief Executive Officer for GEF and Climate Change

Pouli, Moafanua Tolusina, Samoa Ministry of Natural Resources and Environment, Forestry Division, Assistant Chief Executive Officer -Forestry Division

Amerika, Taala Paulo, Samoa Ministry of Natural Resources and Environment, Communications Officer

Siolo, Susau, Samoa Ministry of Natural Resources and Environment, Forestry Division, Principal Policy Officer

Iakopo, Malaki Asuao, Ministry of Natural Resources and Environment, Assistant Chief Executive Officer, Water Resources Division

Simi, Peseta Noumea, Samoa Ministry of Foreign Affairs and Trade, Chief Executive Officer

Strickland, Francella, Samoa Ministry of Foreign Affairs and Trade, Assistant Chief Executive Officer

Mulitalo, Afamasaga Faaiguga, Ministry of Women and Community Development – Internal Affairs Division, Chief Executive Officer

Strickland, Danita, Conservation International, Program Coordinator

Jungblut, Vainuupo, Secretariat of the Pacific Regional Environment Programme (SPREP), Protected Areas Officer

Aiono, Luaiufi, Samoa Farmers Association

ICCRIFS beneficiaries interviewed in the following project sites (names not available): Agro-forestry plot at Lotofaga, Project nursery at Saoluafata, Community nursery and agroforestry plot at Sapapalii

## D.9 Rwanda country interviews

Basigeho, Jean de la Paix, COTEMBI Farmers' Cooperative, President

Gahigi, Aimable, Meteo Rwanda, Director General

Harerimana, Theoneste, Nyabihu Beekeepers Cooperative Union, President

Kalisa, John, World Bank, Urban Economy Consultant

Karangwa, Timothée, Nyahibu District, Karago Sector Agronomist

Kayigema, Vicent, FONERWA (Rwanda Green Fund), Project Manager

Kayonga, Leonard, Rwanda Land Management and Use Authority, Director of Land Management and Spatial Planning

Marima, Pauline, UNEP, Evaluation Officer

Mifinsi, Samuel, COPEPAFOGI Farmers' Cooperative, President

Mugabo, Fabrice, Rwanda Environment Management Authority, Climate Change and Adaptation Specialist

Mugwaneza, Jean Bosco, Rwanda Environment Management Authority, M&E Specialist

Munyazikwiye, Faustin, Rwanda Environment Management Authority, Deputy Director General

Mutabazi, Alphonse, Independent, Consultant

Ngizwenayo, Dieudonne, AfDB, Consultant

Nshimiyimana, Eric, Nyirabashoni Cooperative of Farming Chickens, Vice President

Nyiratuza, Madeleine, UNDP, Head of Sustainable Growth Unit

Rodrigues, Stephan, UNDP, Resident Representative

Ruhamy, Coletha, Rwanda Environment Management Authority, Director General

Rutagengwa, Alexis, Rwanda Land Management and Use Authority, Head of Land Use Planning, Surveying & Mapping Department

Umugwaneza, Janet, Rwanda Environment Management Authority, Single Project Implementation Unit Coordinator

Uwoyезantite, Aimé Patrice, Rutsiro District Veterinary Pharmacy, Pharmacy Manager

Uzayisabn, Bernardin, UNDP, Programme Analyst, Environment and Sustainable Growth

# Portfolio analysis protocol

## Information on reviewer and data source

- Q1. Who is entering the data for this project?
- Q2. Which documents will be used for this review?  
(*Select all that apply*)

## Basic project information

- Q3. GEF ID
- Q4. Project name
- Q5. Lead implementing agency
- Q6. Main focal area
- Q7. Type of primary in-country executing partner
- Q8. Name(s) of in-country executing partner(s)
- Q9. Is the project's scope national, regional, or global?
- Q10. Please list the country or countries in which the project was implemented.
- Q11. Is project implementation closed?

(*for completed projects, skip to Catalytic Effects*)

## Objectives and components

- Q12. What is the project's overarching objective?
- Q13. Please write down the project components.
- Q14. Are the adaptation benefits clear, relevant, and measurable?
- Q15. What is the probability that the project will deliver tangible adaptation benefits in line with set objectives?

- Q16. Did the project design include plans for private sector engagement in any of the following ways?
- Cofinancing from private sector partner is promised in the project documents.
  - Project included a private sector executing partner.
  - Private sector was engaged through project activities.
  - Project design includes activities designed to mobilize the private sector.

Please provide a brief description for any private sector engagement indicated above.

- Q17. Do any project documents, including project appraisal documents, Request for CEO Endorsement, Correspondence between agency and GEF Secretariat, PIRs, midterm report (MTR), or other project implementation reports note any delays in the following stages? Please check all that apply.
- Delays in achieving final project approval or endorsement
  - Delays after approval or endorsement but before formal project start
  - Delays during project implementation
- Q18. Do PIRs, MTR, or other project implementation reports note that the project end date has been extended?

Q19. If the answer is yes for either of the two previous questions, please provide the explanation given in the documents for why delays were experienced or for the need for project extension.

Q20. Does project either build on a past project (funded by GEF/LDCF or others), or is it blended with another project?

### Relevance to conventions and GEF adaptation strategies

Q21. Choose primary NAPA priorities the implementation project addresses. *(Select all that apply)*

- Agriculture (including animal husbandry and fishery)
- Climate information systems
- Disaster risk management
- Natural resource management; fragile ecosystems (including mountain ecosystems, mangroves, forestry, wildlife, land degradation, and land management)
- Coastal zone management (other than mangrove ecosystems/reconstruction)
- Water resource management
- Human health
- Infrastructural development
- Renewable energy, energy efficiency, energy security
- Climate education
- Tourism
- Climate-smart urban areas
- Sustainable rural livelihoods (other than agriculture and natural resource management)
- Other (please specify)

Q22. Alignment of NAPA implementation project with UNFCCC guidance and decisions

- Supports country-driven capacity building based on and responsive to national needs and guided by lessons learned.
- Is cost-effective and complementary to other funding sources.
- Promotes integration of adaptation measures in national socioeconomic and environmental policies and actions,

including development and poverty reduction strategies, plans or policies.

Q23. Alignment of NAPA implementation project with GEF adaptation strategic pillars.

- Expanding catalytic grant and nongrant investments.
- Supporting enabling environments for the private sector to act as an agent for market transformation.

Q24. Alignment of NAPA implementation project with GEF adaptation strategic objectives

- Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
- Mainstream climate change adaptation and resilience for systemic impact
- Foster enabling conditions for effective and integrated climate change adaptation.

Q25. Do the project documents explicitly confirm a linkage with or contribution to the country's INDCs/NDCs?

### Contribution to other focal areas

Q26. Select focal areas other than the main focal area of climate change to which the implementation project (potentially) contributes *(Select all that apply)*

- Biodiversity
- Land Degradation
- International Waters
- Mercury
- Ozone-depleting substances
- Persistent organic pollutants
- No focal areas besides climate change apply

Q27. Overall assessment of NAPA implementation project's alignment with NAPA priorities *(Compare outcome areas of the implementation project with priority activities in the country NAPA report—the enabling activity.)*

Q28. Contribution of NAPA Implementation Project to GEF global environmental benefits

- Maintain globally significant biodiversity and provide ecosystem goods and services to society.
- Use sustainable land management in production systems—agriculture, rangelands, and forest landscapes.
- Promote collective management of transboundary water systems and implementation of the full range of policy, legal, and institutional reforms and investments contributing to sustainable use and maintenance of ecosystem services.
- Support transformational shifts toward a low-emission and resilient development path.
- Increase phaseout, disposal, and reduce release of persistent organic pollutants, ozone-depleting substances, mercury, and other chemicals of global concern.
- Enhance capacity of countries to implement multilateral environmental agreements and mainstream multilateral environmental agreements in national and subnational policy, planning, financial, and legal frameworks.

- Q29. Has the implementation project indicated risks, including climatic and nonclimatic risks, that might prevent the project objectives from being achieved?
- Q30. Does the implementation project provide risk mitigation strategies or actions to be taken if identified risks materialize?
- Q31. Does the implementation project include activities to support replication or scale-up of the project intervention postcompletion? If so, please provide a description of activities in the comment field.
- Q32. Does the implementation project include activities designed to support continued financing for the intervention postcompletion? If so, please provide a description of activities in the comment field.

### Gender

- Q33. Does the project include a gender analysis or equivalent socioeconomic assessment?
- Q34. Does the project include a gender action plan?
- Q35. Does the results framework include gender disaggregated or gender specific indicators?

- Q36. Overall assessment of implementation project's inclusion of the gender component.
- Q37. Would you consider this project an example of best practice in any area? If so, please describe why in a sentence or two.
- Q38. Do you have anything else to add about this project that stood out while reviewing it, or any information about it that would be useful to track?

## CLOSED PROJECTS

### Catalytic effects

- Q39. Identify the implementation project's alignment with the following catalytic effects:
- **Public good:** The project developed or introduced new technologies and/or approaches
  - **Demonstration:** Demonstration sites and/or training was given to further catalyze the new technologies/approaches
  - **Replication:** Activities, demonstrations, and/or techniques are repeated in or outside the project
  - **Scaling up:** Approaches developed through the project are taken up on a regional or national scale, becoming widely accepted
- Q40. Catalytic effects, Part 2
- The project generated significant social, economic, cultural, and human well-being co-benefits.
  - The project built on the traditional knowledge and practices of local communities.
  - The project had an impact on multiple sectors and at different levels of society.
  - Project built foundations for larger scale project(s) through analytic work, assessments and capacity building activities.
  - The project was instrumental in developing longer-term partnerships.
  - The project was successful in developing new cost sharing approaches / leveraging new resources.
  - The project improved management effectiveness of adaptation-relevant subnational or national systems. (Is the government better equipped to deal with

climate change adaptation because of the project?)

### Sustainability

- Q41. Please provide a description of any **project-related factors** that contributed to project sustainability of outcomes?
- Q42. Please provide a description of any **project-related factors** that hindered project sustainability of outcomes?
- Q43. Please provide a description of any **context-related factors** that contributed to project sustainability of outcomes?
- Q44. Please provide a description of any **context-related factors** that hindered project sustainability of outcomes?
- Q45. Do any project documents, including PAD, Request for CEO Endorsement, Correspondence between Agency and GEF SEC, PIRs, MTR, terminal evaluation or other project implementation reports note any delays in the following stages? Please check all options that apply.
- Delays in achieving final project approval or endorsement
  - Delays after approval and endorsement but before formal project start
  - Delays during project implementation
- Q46. Do PIRs, MTR, terminal evaluation, or other project implementation reports note that the project end date was extended?
- Q47. If the answer is yes for either of the two previous questions, please provide the explanation given in PIRs, MTR, terminal evaluation, or other implementation reports for why delays were experienced, or the project needed to be extended.
- Q48. Does the terminal evaluation include an assessment of the project's gender mainstreaming strategy or gender action plan

(or the impact of its omission if one was not included)?

- Q49. Was a gender analysis or equivalent socioeconomic assessment conducted?
- Q50. Does the terminal evaluation, MTR, PIRs, or other implementation documents report on gender disaggregated or gender specific indicators?
- Q51. What is the overall assessment of the implementation project's inclusion of the gender component at closure?
- Q52. Did the project include private sector engagement? Please provide a brief description.
- Q53. Do the terminal evaluation, MTR, PIRs, or other project implementation documents confirm an explicit linkage with or contribution to the country's INDCs/NDCs?

### Innovation in closed projects

- Q54. Provide a synopsis of innovations identified in the implementation project's terminal evaluation:

### Lessons learned for closed projects

- Q55. What were the lessons learned in communications and stakeholder involvement?
- Q56. What were the lessons learned in monitoring and evaluation?
- Q57. What were the content-technical lessons learned about climate change adaptation?
- Q58. Add any other lessons learned not covered in the answers to the above three questions.
- Q59. Would you consider this project an example of best practice in any area? If so, please describe why with a sentence or two.
- Q60. Do you have anything else to add about this project that stood out while reviewing it, or any information about it that would be useful to track?

# UNFCCC COP guidance

The LDCF was established in 2001 as an adaptation funding mechanism. Its mandate, objectives, and priorities in supporting LDCs has developed over time. Below is a concise overview of UNFCCC COP Guidance and Decisions for the LDCF:<sup>1</sup>

- **FCCC/CP/2001/13/Add. 1, Decision 2/CP.7, Annex B, par. 9, and Annex D, par. 22:** Support country-driven capacity-building activities in developing countries as part of the LDC (non-Annex 1) work program with a focus on those countries most vulnerable to the adverse effects of climate change.
- **FCCC/CP/2001/13/Add.1, Decision 5/CP.7 and Decision 7/CP.7, par. 6:** Support the work program for the LDCs, including NAPA preparation.
- **FCCC/CP/2003/6/Add.1, Decision 4/CP.9, par. 1a:** Support preparation of National Communications to the Convention.
- **FCCC/CP/2003/6/Add.1, Decision 6/CP.9, pars. 2 and 3:** Support implementation of NAPAs (the support of NAPA implementation projects) as soon as possible after the NAPA completion.
- **FCCC/CP/2003/6/Add.1, Decision 6/CP.9, par. 3 and FCCC/CP/2005/5/Add.1, Decision 3/CP.11, par. 1a:** NAPAs should be country driven, in line with national priorities to ensure cost-effectiveness and complementarity with other funding sources. The focus should be on urgency and immediacy of adapting to the adverse effects of climate change, with a prioritization of activities.
- **FCCC/CP/2005/5/Add.1, Decision 3/CP.11, par. 1b-c:** (b) Supporting the implementation of activities identified in NAPAs to promote integration of adaptation measures in national development and poverty reduction strategies, plans, or policies, with a view to increasing resilience to the adverse effects of climate change, and (c) Supporting a learning-by-doing approach.
- **FCCC/CP/2010/7/Add.1, Decision 1/CP.16, par. 15:** Establish a process to formulate and implement NAPs to identify medium- and long-term adaptation needs and developing and implementing strategies and programs to address those needs.
- **FCCC/CP/2012/8/Add.2, Decision 12/CP.18, par. 1:** To provide funding from the LDCF for activities that support preparation of the NAP.

<sup>1</sup> Sources: GEF (2018h); [UNFCCC Decisions](#), accessed September 2019.

- **FCCC/CP/2014/10/Add.2 Decision 10/CP.20 pars. 8 and 10:** To share lessons learned and progress made in pilot accreditation of GEF national project agencies, to enhance communication with implementing agencies, and to encourage implementing agencies to improve their communication with countries to facilitate timely implementation of NAPAs.
- **FCCC/CP/2015/10/Add.1 Decision 1/CP.21 In Decision 1/CP.21, par. 58:** The COP decided that the Green Climate Fund and the GEF, the entities entrusted with operating the Financial Mechanism of the Convention, as well as the LDCF and the SCCF, administered by the GEF, shall serve the Paris Agreement.
- **FCCC/CP/2015/10/Add.2 Decision 8/CP.21 pars. 6 and 8:** Notes that the GEF IEO is carrying out a review of the LDCF, and requests the GEF carry out a technical review of the program priorities of the LDCF, taking into account the GEF IEO review and focusing on pilot climate-change activities relevant to the least developed countries to enhance longer-term institutional capacity to design and execute these capacities.
- **FCCC/CP/2016/10/Add.1 Decision 11/CP.22 pars. 14 and 15:** Welcomes the conclusions of the “Program Evaluation of the Least Developed Countries Fund” and requests the GEF to continue to enhance capacity development in the least developed countries to create project proposals with a focus on identifying potential funding sources, both national and international, and enhancing long-term domestic institutional capacities.
- **FCCC/CP/2017/11/Add.1/Decision 10/CP.23 par. 11:** Encourages the Global Environment Facility to further enhance engagement with the private sector, including its technology projects. 19.
- **FCCC/CP/2018/10/Add.2 Decision 16/CP.24 pars. 3 and 4:** That support to the Least Developed Countries Work Program should come from the LDCF, as well as other bilateral and multilateral sources, and that the Least Developed Countries Work Program be updated to reflect the needs of the least developed countries, including through:
  - Establishing or strengthening national climate change secretariats or focal points to enable effective implementation of the Convention, the Kyoto Protocol, and the Paris Agreement in the least developed country parties
  - Providing training to strengthen capacity of negotiators for Least Developed Countries to participate in the climate change process
  - Supporting a process to formulate and implement NAPs and related adaptation strategies, including NAPAs
  - Supporting preparation and implementation of NDCs/INDCs
  - Continuing to promote public awareness programs, strengthening cooperative action on adaptation technology development and transfer, strengthening capacity of meteorological and hydrological services for weather and climate information to support implementation of adaptation actions, and continuing to support capacity-building initiatives to enable effective engagement in reporting and review activities under the Convention and the Paris Agreement, as needed.
- **FCCC/PA/CMA/2018/3/Add.1: Section II. pars. 7 and 9:** That the LDCF shall serve the Paris Agreement.

# Overview of completed NAPAs

Country	GEF Agency	GEF ID	Date of submission to UNFCCC
Afghanistan	UNEP	2530	September 2009
Angola	UNEP	3409	December 2011
Bangladesh	UNDP	2026	November 2005, updated June 2009
Benin	UNDP	2461	January 2008
Bhutan	UNDP	2352	May 2006
Burkina Faso	UNDP	2156	December 2007
Burundi	UNDP	2466	February 2007
Cabo Verde	UNDP	2351	December 2007
Cambodia	UNDP	1869	March 2007
Central African Republic	UNEP	2425	June 2008
Chad	UNDP	2480	February 2010
Comoros	UNEP	2049	November 2006
Democratic Republic of Congo	UNDP	2409	September 2006
Djibouti	UNEP	2191	October 2006
Equatorial Guinea	UNDP	5191	November 2013
Eritrea	UNDP	1959	May 2007
Ethiopia	UNDP	1960	June 2008
Gambia	UNEP	2050	January 2008
Guinea	UNDP	2362	July 2007
Guinea-Bissau	UNDP	2524	February 2008
Haiti	UNEP	1948	December 2006
Kiribati	UNDP	2388	January 2007
Lao People's Democratic Republic	UNDP	2148	May 2009
Lesotho	UNEP	2013	June 2007
Liberia	UNEP	2414	July 2007
Madagascar	World Bank	2521	December 2006

Country	GEF Agency	GEF ID	Date of submission to UNFCCC
Malawi	UNDP	2027	March 2006
Maldives	UNDP	2353	March 2008
Mali	UNDP	2410	December 2007
Mauritania	UNEP	1956	November 2004
Mozambique	UNDP	2029	July 2008
Myanmar	UNEP	3702	May 2013
Nepal	UNDP	3412	November 2010
Niger	UNDP	2481	July 2006
Rwanda	UNEP	2484	May 2007
Samoa	UNDP	1868	December 2005
São Tomé and Príncipe	World Bank	2464	November 2007
Senegal	UNEP	2085	November 2006
Sierra Leone	UNDP	2482	June 2008
Solomon Islands	UNDP	2814	December 2008
Somalia	UNDP	5007	April 2013
South Sudan	UNDP	5564	February 2017
Sudan	UNDP	2031	June 2007
Tanzania	UNEP	1996	September 2007
Timor-Leste	UNDP	3464	September 2011
Togo	UNDP	2465	September 2009
Tuvalu	UNDP	1969	May 2007
Uganda	UNEP	2168	December 2007
Vanuatu	UNDP	1970	December 2007
Republic of Yemen	UNDP	1990	April 2009
Zambia	UNDP	2413	October 2007

# Results frameworks

## H.1 GEF Adaptation Program

The revised results framework of the GEF Adaptation Program is structured around three strategic objectives with associated outcomes and

indicators. As of July 1, 2018, project and program proponents that seek funds from the LDCF or the SCCF for climate change adaptation will be asked to align their proposals with one or more of these strategic objectives.

**Table H.1** Adaptation Program results framework

<b>Goal</b>	To strengthen resilience and reduce vulnerability to the adverse impacts of climate change in developing countries, and support country efforts to enhance adaptive capacity
<b>Objective 1</b>	Reduce vulnerability and increase resilience through innovation and technology transfer for climate change adaptation
<b>Outcome 1.1</b>	Technologies and innovative solutions piloted or deployed to reduce climate-related risks and/or enhance resilience
<b>Outcome 1.2</b>	Innovative financial instruments and investment models enabled or introduced to enhance climate resilience
<b>Objective 2</b>	Mainstream climate change adaptation and resilience for systemic impact
<b>Outcome 2.1</b>	Strengthened cross-sectoral mechanisms to mainstream climate adaptation and resilience
<b>Outcome 2.2</b>	Increased ability of country to access climate finance or other relevant, large-scale, programmatic investment
<b>Objective 3</b>	Foster enabling conditions for effective and integrated climate change adaptation
<b>Outcome 3.1</b>	Climate-resilient planning enabled by stronger climate information decision support services, and other relevant analysis
<b>Outcome 3.2</b>	Institutional and human capacities strengthened to identify and implement adaptation measures

**Table H.2 GEF-7 results framework on gender equality and women’s empowerment (GEWE)**

Indicators	Baselines	Verification
<b>Outcome area: Gender-responsive GEF program and project design and development</b>		
1. Percentage of projects that have conducted a gender analysis or equivalent socioeconomic assessment	Baseline: 66%	Project documents at PIF and CEO Endorsement/ Approval
2. Percentage of projects that plan to carry out gender-responsive activities—Number of projects with specific gender action plans	Baseline: Not available	
3. Percentage of projects that include sex-disaggregated and gender sensitive indicators	Baseline: 78%	Gender tags in the GEF Portal
4. Percentage (and number) of anticipated GEF beneficiaries that are female	Baseline: Not available	GEF Core indicator
5. Percentage of projects that are tagged for expected contribution to closing gender gaps and promoting GEWE in one or more of the following categories: <ul style="list-style-type: none"> <li>• Contributing to equal access to and control of natural resources of women and men</li> <li>• Improving the participation and decision making of women in natural resource governance</li> <li>• Targeting socioeconomic benefits and services for women</li> </ul>	Baseline: Not available	Gender tags in the GEF Portal
<b>Outcome area: Gender-responsive program and project reporting and results</b>		
6. Percentage (and number) of GEF beneficiaries that are female	Baseline: Not available	PIRs/MTRs/ TEs (Qualitative analyses)
7. Percentage of projects that report on progress on gender-responsive measures, sex-disaggregated and gender-sensitive indicators, and lessons learned	Baseline: 73%	
8. Percentage of projects that report on results in one or more of the following categories: <ul style="list-style-type: none"> <li>• Contributing to equal access to and control of natural resources of women and men</li> <li>• Improving the participation and decision making of women in natural resource governance</li> <li>• Targeting socioeconomic benefits and services for women</li> </ul>	Baseline: Not available	

Source: GEF 2018b.

# Average time to project start

Trust fund	Average time in months				
	First receipt to Council approval	Council approval to final CEO endorsement	First receipt to project endorsement	Project endorsement to start	First receipt to project start
GEF-5					
LDCF ( <i>n</i> = 100)	4	21	26	5	32
GEF ( <i>n</i> = 379)	4	24	28	6	35
SCCF ( <i>n</i> = 29)	1	22	23	6	30
GEF-6					
LDCF ( <i>n</i> = 13)	18	22	40	4	45
GEF ( <i>n</i> = 104)	4	17	22	4	26
SCCF ( <i>n</i> = 6)	0	17	18	5	23
Total					
LDCF ( <i>n</i> = 113)	6	21	28	5	33
GEF ( <i>n</i> = 483)	4	22	26	6	33
SCCF ( <i>n</i> = 35)	1	21	23	6	28

**Sources:** GEF Secretariat records with updates from Agencies where available, and Adaptation Fund Secretariat records.

**Note:** Includes only full-size stand-alone projects for which GEF IEO had a record of dates for first receipt of concept, Council approval, final project approval, and project start date.

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